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ABSTRACT

This is the first module in a four-module training package for use in inservice seminars or workshops on performance appraisal and employee development. It also contains an introductory manual with general information pertaining to all four modules in addition to specific outlines and objectives for each of the modules. Module 1 overviews the performance evaluation process, including the what, who, how, and when of performance evaluation. It presents performance evaluation as an employee feedback and development tool. A general model is provided and these uses of performance evaluation results identified: employee development, identification of training needs, criteria for selection, criteria for evaluating bias in rating, evaluation of training, promotion, demotion, and planning. Guidelines for selecting raters and possible areas of resistance are discussed. The module includes both instructor and student manuals. The instructor's manual consists of two major parts. Details of Workshop contains the following information: objectives, time needed, agenda and time allocation, resources and materials needed, and bibliography. The second part is the Module Outline for Instructor with copies of transparencies needed. The participant's manual contains copies of all materials the student will use, including the pre/post-test and copies of all transparencies. An answer key for the test is provided. (YLB)

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COMPONENT OF MODULE:

INTRODUCTORY MANUAL

MODULE NO.:

0

MODULE TITLE:

INTRODUCTORY MANUAL

THIS MODULE DEVELOPED BY:

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ACKNOWLEDGEMENTS

Throughout this training program we stress that performance evaluation begins and ends with behavior -- what the person has done or is actually doing. Without behavior there can be no performance. In another context we might have stressed that actions speak much more loudly than words.

Now we wish to acknowledge the words, actions, and behavior of the many practitioners and/or scholars who assisted us in the development of this performance evaluation training program.

Professors Fred Fiedler, Patrick Keenor, and Gary Latham provided the curricular expertise for the project. Jack Cartwright and Robert Morton analyzed the material from a practitioner's point of view. The managers who participated in the tests of the training package provided both comments and data used in revising the material. The Washington Criminal Justice Training Commission, King County, and City of Palo Alto coordinated the testing of the package. And the National Training and Development Service staff fulfilled their staff function well.

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1. OVERVIEW OF PACKAGE

PERFORMANCE APPRAISAL AND EMPLOYEE DEVELOPMENT ARE THE MAJOR TOPICS OF THIS FOUR MODULE TRAINING PACKAGE. IN THIS SEMINAR PARTICIPANTS WILL STUDY DIFFERENT METHODS AND TYPES OF APPRAISAL SYSTEMS WITH THE GOAL OF IDENTIFYING STRENGTHS AND LIMITATIONS OF EACH. PERFORMANCE EVALUATION ITSELF WILL BE ADDRESSED AS A KEY ASPECT OF A TOTAL EMPLOYEE DEVELOPMENT PROGRAM. SPECIAL EMPHASIS WILL BE PLACED ON DEVELOPING AND IMPROVING THE PERFORMANCE EVALUATION SKILLS OF THOSE PARTICIPATING IN THE SEMINAR, ESPECIALLY THOSE SKILLS RELATED TO EMPLOYEE COUNSELING AND FEEDBACK.

THIS INTRODUCTORY MANUAL CONTAINS GENERAL INFORMATION PERTAINING TO ALL FOUR OF THE MODULES IN ADDITION TO SPECIFIC OUTLINES AND OBJECTIVES FOR EACH OF THE MODULES.

II. MODULE ONE OVERVIEW AND OBJECTIVES

MODULE ONE PRESENTS AN OVERVIEW OF THE PERFORMANCE EVALUATION PROCESS INCLUDING THE WHAT, THE WHO, THE HOW, AND THE WHEN OF PERFORMANCE EVALUATION. IN THIS MODULE PERFORMANCE EVALUATION IS PRESENTED AS AN EMPLOYEE FEEDBACK AND DEVELOPMENT TOOL. EMPLOYEE PERFORMANCE IS RELATED TO THE SKILL, MOTIVATION, AND PAST EXPERIENCE OF THE INDIVIDUAL IN A PARTICULAR ORGANIZATIONAL SETTING. FIRST WE PRESENT A GENERAL MODEL FOR PERFORMANCE EVALUATION, THEN WE IDENTIFY THE VARIOUS USES OF PERFORMANCE EVALUATION RESULTS INCLUDING: EMPLOYEE DEVELOPMENT, IDENTIFICATION OF TRAINING NEEDS, CRITERIA FOR SELECTION, CRITERIA FOR EVALUATING BIAS IN RATING, EVALUATION OF TRAINING, PROMOTION, DEMOTION, AND PLANNING. GUIDELINES FOR SELECTING RATERS ARE PRESENTED AS WELL AS POSSIBLE AREAS OF RESISTANCE TO THE PERFORMANCE EVALUATION PROCESS.

BY THE CONCLUSION OF MODULE ONE PARTICIPANTS WILL BE ABLE TO:

- OUTLINE A SYSTEMS' APPROACH TO PERFORMANCE EVALUATION
- IDENTIFY THE VARIOUS USES OF PERFORMANCE EVALUATION RESULTS
- POINT OUT THE EMPLOYEE FEEDBACK AND DEVELOPMENT ASPECTS OF PERFORMANCE EVALUATION
- IDENTIFY THE EQUAL EMPLOYMENT OPPORTUNITY IMPLICATIONS OF PERFORMANCE EVALUATION SYSTEMS
- SHOW THE INTERRELATIONSHIP BETWEEN MANAGEMENT BY OBJECTIVES AND PERFORMANCE EVALUATION
- IDENTIFY THE MULTIPLE FACTORS AFFECTING AN EMPLOYEE'S PERFORMANCE

III. MODULE TWO OVERVIEW AND OBJECTIVES

MODULE TWO OF THE PERFORMANCE EVALUATION WORKSHOP CONCENTRATES ON THE DIFFERENT METHODS OF PERFORMANCE EVALUATION. EACH OF THE FOLLOWING PERFORMANCE EVALUATION TECHNIQUES IS PRESENTED: ESSAY, RANKING, FORCED-DISTRIBUTION, NON-ANCHORED RATING SCALE, WEIGHTED CHECKLIST, FORCED-CHOICE, CRITICAL INCIDENT, AND BEHAVIORAL ANCHOR. THE RATIONALE BEHIND EACH METHOD AS WELL AS THE PROCEDURES REQUIRED FOR DEVELOPING EACH ARE PRESENTED. IN ADDITION, THE STRENGTHS AND WEAKNESSES OF EACH ARE PRESENTED. THE SELECTION OF THE "BEST" PERFORMANCE EVALUATION SYSTEM FOR A PARTICULAR ORGANIZATION IS DISCUSSED IN TERMS OF THE PARTICULAR GOALS AND OBJECTIVES ESTABLISHED BY THAT ORGANIZATION FOR ITS PERFORMANCE EVALUATION SYSTEM. THE MODULE CONCLUDES WITH A SERIES OF EXERCISES ON DEVELOPING, ANALYZING, AND RATING CRITICAL INCIDENTS.

BY THE CONCLUSION OF MODULE TWO PARTICIPANTS WILL BE ABLE TO:

- LIST THE DIFFERENT PERFORMANCE EVALUATION METHODS
- IDENTIFY STANDARDS FOR CRITIQUING PERFORMANCE EVALUATION FORMS
- DESCRIBE THE STEPS INVOLVED IN DEVELOPING THE FOLLOWING PERFORMANCE EVALUATION INSTRUMENTS:
 - A. WEIGHTED CHECKLIST
 - B. CRITICAL INCIDENT
 - C. BEHAVIORAL ANCHOR
- GENERATE CRITICAL INCIDENTS
- CATEGORIZE AND CODE CRITICAL INCIDENTS

IV. MODULE THREE OVERVIEW AND OBJECTIVES

IN MODULE THREE WE FOCUS ON THE ACTUAL PERFORMANCE REVIEW PROCESS. IN THE FIRST PART OF THE MODULE WE OUTLINE THE REQUIREMENTS FOR CONSTRUCTING EMPLOYEE DEVELOPMENT PLANS THAT ARE BOTH OBJECTIVE AND WORKABLE. IN PARTICULAR WE PRESENT THOSE FACTORS WHICH RESULT IN HIGH QUALITY PERFORMANCE OBJECTIVES. IN THE SECOND PART OF THE MODULE WE ADDRESS THE NOTION OF RATER ERRORS -- THOSE PREDISPOSITIONS AND TENDENCIES IN THE RATER WHICH LEAD TO BIASED/INACCURATE PERFORMANCE RATINGS. AFTER PRESENTING THE MORE COMMON RATER ERRORS (HALO, HORNS, CENTRAL TENDENCY, POSITIVE LENIENCY, NEGATIVE LENIENCY, CONTRAST, SIMILAR TO ME) WE INVESTIGATE BOTH THE CAUSES OF THESE ERRORS AND METHODS OF REDUCING THE IMPACT OF THESE ERRORS.

THROUGHOUT THIS MODULE THE PARTICIPANTS ARE ACTIVELY ENGAGED IN THE PROCESS OF WRITING PERFORMANCE OBJECTIVES AND IDENTIFYING THE CAUSES AND EFFECTS OF RATER ERRORS.

BY THE CONCLUSION OF MODULE THREE PARTICIPANTS WILL BE ABLE TO:

- IDENTIFY THE MOST COMMON RATER ERRORS
- IDENTIFY METHODS OF REDUCING EACH TYPE OF ERROR
- IDENTIFY THE COMPONENTS OF "GOOD" OBJECTIVES
- WRITE S P A M O OBJECTIVES:
 - A. SPECIFIC
 - B. PERTINENT
 - C. ATTAINABLE
 - D. MEASURABLE
 - E. OBSERVABLE

V. MODULE FOUR OVERVIEW AND OBJECTIVES

MODULE FOUR ADDRESSES THE EMPLOYEE FEEDBACK AND COUNSELING ASPECTS OF PERFORMANCE EVALUATION. OF PRIMARY EMPHASIS IN THIS MODULE IS THE USE OF PERFORMANCE REVIEWS AS EMPLOYEE DEVELOPMENT TOOLS. TWO RELATED CONTENT AREAS ARE STRESSED:

(A) THE COUNSELING/COMMUNICATION COMPONENTS OF THE PERFORMANCE REVIEW AND (B) THE PLANNING AND OBJECTIVE SETTING PROCESS THAT RESULTS IN A CLEAR STATEMENT OF ANTICIPATED EMPLOYEE PERFORMANCE DURING THE SUBSEQUENT REVIEW PERIOD.

THROUGHOUT THIS MODULE WE EMPHASIZE THOSE SUPERVISOR BEHAVIORS WHICH CAN LEAD TO MORE PRODUCTIVE PERFORMANCE REVIEW SESSIONS.

THE FIRST HALF OF THE MODULE PRESENTS THE MATERIAL THAT SHOULD BE INCLUDED IN THE REVIEW SESSION (THE CONTENT OF THE SESSION) AND THE WAY IN WHICH THE MATERIAL SHOULD BE PRESENTED (THE PROCESS). THE SECOND HALF OF THE MODULE PROVIDES PARTICIPANTS WITH THE OPPORTUNITY TO COMBINE THE CONTENT AND THE PROCESS IN ACTUAL EXERCISES.

BY THE CONCLUSION OF MODULE FOUR PARTICIPANTS WILL BE ABLE TO DEMONSTRATE THE FOLLOWING PERFORMANCE INTERVIEW SKILLS:

- INTERVIEW INITIATION
- INTERVIEW STRUCTURING
- INTERVIEW COMMUNICATION
- INTERVIEW PLANNING AND NEGOTIATION
- INTERVIEW CLOSING

VI. SELECTION AND SEQUENCING OF MODULES

THE FOUR MODULES WERE DESIGNED TO BE USED SEQUENTIALLY. HOWEVER, WE ACKNOWLEDGE THE FACT THAT DIFFERENT MANAGERS HAVE DIFFERENT LEVELS OF EXPERTISE IN THE AREA OF PERFORMANCE EVALUATION. FOR THIS REASON IT IS ESSENTIAL THAT THE INSTRUCTOR/TRAINER DETERMINE THE SPECIFIC NEEDS AND EXPECTATIONS OF THE PARTICIPANTS PRIOR TO CONDUCTING THE TRAINING PROGRAM.

FOR EXAMPLE, IF PARTICIPANTS ARE IN THE PROCESS OF SELECTING A NEW PERFORMANCE EVALUATION SYSTEM, MODULE TWO WOULD BE APPROPRIATE. IF MANAGERS WANT TO FOCUS ON THE PERFORMANCE EVALUATION PROCESS ITSELF, THEN MODULES ONE, THREE, AND FOUR WOULD BE THE MOST SUITABLE.

THE POINT TO REMEMBER IS THAT THIS MATERIAL CAN BE, AND SHOULD BE, TAILORED TO ADDRESS THE TRAINING NEEDS OF SPECIFIC GROUPS.

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VIII. DESCRIPTION OF INSTRUCTOR QUALIFICATIONS

POTENTIAL INSTRUCTORS FOR THE PERFORMANCE EVALUATION TRAINING PROGRAM SHOULD BE ABLE TO DO THE FOLLOWING:

- EXPLAIN THE RATIONALE BEHIND PERFORMANCE EVALUATION SYSTEMS
- EXPLAIN THE EQUAL EMPLOYMENT IMPLICATIONS OF PERFORMANCE EVALUATION SYSTEMS
- EXPLAIN THE CONCEPTS OF RELIABILITY AND VALIDITY
- DISCUSS THE DEVELOPMENTAL STEPS REQUIRED FOR EACH OF THE PERFORMANCE EVALUATION METHODS PRESENTED
- WRITE OBJECTIVES THAT MEET THE S P A M O CRITERIA
- GIVE EXAMPLES OF THE VARIOUS RATER ERRORS
- DEMONSTRATE THE APPROPRIATE INTERVIEWING, COUNSELING, AND FEEDBACK SKILLS REQUIRED FOR MODULE FOUR
- FACILITATE SMALL GROUP DISCUSSIONS

THE INSTRUCTOR WHO MEETS THE ABOVE CRITERIA WILL PROBABLY HAVE COMPLETED ADVANCED UNDERGRADUATE OR GRADUATE LEVEL COURSES IN INDUSTRIAL PSYCHOLOGY, PERSONNEL MANAGEMENT, GROUP DYNAMICS, ADULT EDUCATION, AND EMPLOYEE COUNSELING.

IF THE INSTRUCTOR IS COMPLETELY UNFAMILIAR WITH THE MATERIAL PRESENTED IN THE MODULES, WE SUGGEST THAT HE/SHE STUDIES THE REFERENCE MATERIAL PRESENTED IN THE BIBLIOGRAPHY IN ADDITION TO PARTICIPATING IN COLLEGE LEVEL COURSES AND SEMINARS THAT ADDRESS THE PERFORMANCE EVALUATION AREA.

WE HAVE ASSUMED THAT THE INSTRUCTOR HAS CONDUCTED OTHER WORKSHOPS AND IS, THEREFORE, FAMILIAR WITH THE ADMINISTRATIVE DETAILS OF CONDUCTING A WORKSHOP.

EACH INSTRUCTOR'S MANUAL IS DESIGNED TO SERVE AS A GUIDE FOR THE PERSON CONDUCTING THE MODULES. WE FULLY EXPECT EACH INSTRUCTOR TO DRAW ON HIS OR HER OWN EXPERIENCE TO SUPPLEMENT AND/OR EXPAND ON THE MATERIAL PRESENTED. IN PARTICULAR, SUGGESTED TIME FRAMES WITHIN EACH MODULE ARE INTENDED TO BE ILLUSTRATIVE RATHER THAN DELIMITING. IN TESTING THE MODULES WE HAVE FOUND THAT DIFFERENT GROUPS VARY BY AS MUCH AS ONE HOUR IN THE TIME THEY TAKE TO COMPLETE A SINGLE MODULE.

IX. DESCRIPTION OF AUDIENCE

THIS TRAINING PACKAGE IS DESIGNED PRIMARILY FOR IN-SERVICE TRAINING PROGRAMS FOR MANAGERS INVOLVED IN THE EMPLOYEE PERFORMANCE EVALUATION PROCESS.

SOME USERS OF THIS PACKAGE HAVE REPORTED TO US THAT THEY USED THE PACKAGE, WITH MINOR MODIFICATIONS, IN BOTH UNDER-GRADUATE AND GRADUATE BUSINESS COURSES.

X. DESCRIPTION OF SUBCONTRACTOR

M. PETER SCONTRINO, PH.D., IS A LICENSED INDUSTRIAL PSYCHOLOGIST. SINCE 1971 HE HAS BEEN A MANAGEMENT CONSULTANT TO PUBLIC AND PRIVATE ORGANIZATIONS ON THE WEST COAST. FORMERLY ON THE FACULTIES OF THE UNIVERSITY OF WASHINGTON AND SEATTLE UNIVERSITY, HE REPRESENTS A UNIQUE COMBINATION OF BOTH THEORY AND PRACTICAL APPLICATION IN PERSONNEL PERFORMANCE EVALUATION SYSTEMS. HE HAS DESIGNED PERFORMANCE EVALUATION SYSTEMS AND TRAINED MANAGERS IN THE USE OF THESE SYSTEMS IN ORGANIZATIONS RANGING IN SIZE FROM FEWER THAN ONE HUNDRED EMPLOYEES TO OVER FIVE THOUSAND EMPLOYEES.

COMPONENT OF MODULE:

INSTRUCTOR MANUAL

MODULE NO.:

ONE

MODULE TITLE:

PERFORMANCE EVALUATION SYSTEMS

THIS MODULE DEVELOPED BY:

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SUBCONTRACTOR:

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1. INTRODUCTION

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II. DETAILS OF WORKSHOP

A. COURSE TITLE: PERFORMANCE EVALUATION WORKSHOP FOR
IN-SERVICE MANAGERS

B. MODULE: MODULE ONE -- PERFORMANCE EVALUATION SYSTEMS

C. OBJECTIVES: BY THE CONCLUSION OF MODULE ONE PARTICIPANTS
WILL BE ABLE TO:

- OUTLINE A SYSTEMS' APPROACH TO PERFORMANCE EVALUATION
- IDENTIFY THE VARIOUS USES OF PERFORMANCE EVALUATION RESULTS
- POINT OUT THE EMPLOYEE FEEDBACK AND DEVELOPMENT ASPECTS OF PERFORMANCE EVALUATION
- IDENTIFY THE EQUAL EMPLOYMENT OPPORTUNITY IMPLICATIONS OF PERFORMANCE EVALUATION SYSTEMS
- SHOW THE INTERRELATIONSHIP BETWEEN MANAGEMENT BY OBJECTIVES AND PERFORMANCE EVALUATION
- IDENTIFY THE MULTIPLE FACTORS AFFECTING AN EMPLOYEE'S PERFORMANCE

D. TIME NEEDED: FOUR HOURS

E. AGENDA AND TIME ALLOCATION

00:00 - 00:15 MODULE OVERVIEW/OBJECTIVES/INTRODUCTIONS
00:15 - 00:30 PRE-TEST
00:30 - 00:45 ROLES OF PERFORMANCE EVALUATION
00:45 - 01:00 SYSTEMS APPROACH
01:00 - 01:20 SOME FACTORS TO CONSIDER
01:20 - 01:30 BREAK
01:30 - 01:50 WHO SHOULD EVALUATE

E. AGENDA AND TIME ALLOCATION -- CONTINUED

- 01:50 - 02:00 COMPONENTS OF SUCCESSFUL PERFORMANCE EVALUATION SYSTEMS
- 02:00 - 02:10 RESISTANCE TO PERFORMANCE EVALUATION
- 02:10 - 02:20 PERFORMANCE EVALUATION AND EQUAL EMPLOYMENT OPPORTUNITY (E.E.O.) COMPLIANCE
- 02:20 - 02:30 CRITERIA FOR EVALUATING BIAS IN PERFORMANCE EVALUATION SYSTEMS
- 02:30 - 02:40 PEOPLE AND THEIR PERFORMANCE
- 02:40 - 02:50 PERFORMANCE EVALUATION AND MANAGEMENT BY OBJECTIVES
- 02:50 - 03:00 THE PSYCHOLOGY OF PERFORMANCE EVALUATION
- 03:00 - 03:30 QUESTIONS AND DISCUSSION
- 03:30 - 03:45 POST-TEST
- 03:45 - 04:00 SCORING PRE-TEST AND POST-TEST

F. RESOURCES AND MATERIALS NEEDED

IF THE INSTRUCTOR HAS NOT PURCHASED THE OVERHEAD TRANSPARENCIES, THE INSTRUCTOR WILL NEED ACCESS TO AN I.B.M., XEROX, THERMOFAX, OR OTHER COPYING MACHINE THAT CAN PRODUCE TRANSPARENCIES. IN ADDITION THE INSTRUCTOR WILL NEED:

- OVERHEAD PROJECTOR
- PEN/PENCIL FOR OVERHEAD PROJECTOR
- PROJECTION SCREEN
- BLANK TRANSPARENCIES OR ACETATE ROLL
- EASEL, PAPER, MARKING PENS
- ONE STUDENT MANUAL FOR EACH PARTICIPANT

G. BIBLIOGRAPHY

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- Slusher, E.A. A systems look at performance appraisal. Personnel Journal, 1975, 54, 114 - 117.
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III. MODULE OUTLINE FOR INSTRUCTOR

1. PARTICIPANT INTRODUCTION AND EXPECTATIONS

- * INSTRUCTOR INTRODUCES HIMSELF/HERSELF
- * ASK PARTICIPANTS TO:
 - (1) INTRODUCE THEMSELVES
 - (2) SHARE THEIR EXPECTATIONS FOR THE WORKSHOP

PLACE OVERHEAD SLIDE 1.6 ON THE PROJECTOR

- * INSTRUCTOR SUMMARIZES EXPECTATIONS MENTIONED BY THE PARTICIPANTS

WORKSHOP EXPECTATIONS

"WHAT WOULD YOU LIKE TO GET OUT OF THIS WORKSHOP?"

2. PURPOSE OF MODULE ONE

PLACE OVERHEAD SLIDE 1.8 ON THE PROJECTOR

- * READ PURPOSE STATED ON SLIDE

PURPOSE

TO PRESENT YOU WITH AN OVERVIEW OF PERFORMANCE EVALUATION SYSTEMS

3. OBJECTIVES FOR MODULE ONE

PLACE OVERHEAD SLIDE 1.10 ON THE PROJECTOR

- * READ OBJECTIVES LISTED ON SLIDE
- * MENTION THAT THIS MODULE IS THE FIRST OF FOUR MODULES ON PERFORMANCE EVALUATION

MODULE ONE OBJECTIVES

BY THE CONCLUSION OF MODULE ONE PARTICIPANTS WILL BE ABLE TO:

- OUTLINE A SYSTEMS' APPROACH TO PERFORMANCE EVALUATION
- IDENTIFY THE VARIOUS USES OF PERFORMANCE EVALUATION
- POINT OUT THE EMPLOYEE FEEDBACK AND DEVELOPMENT ASPECTS OF PERFORMANCE EVALUATION
- IDENTIFY THE EQUAL EMPLOYMENT OPPORTUNITY (E.E.O.) IMPLICATIONS OF PERFORMANCE EVALUATION SYSTEMS
- SHOW THE INTERRELATIONSHIP BETWEEN MANAGEMENT BY OBJECTIVES (MBO) AND PERFORMANCE EVALUATION
- IDENTIFY THE MULTIPLE FACTORS AFFECTING AN EMPLOYEE'S PERFORMANCE

4. OTHER MODULES IN THE PERFORMANCE EVALUATION WORKSHOP

PLACE OVERHEAD SLIDE 1.12 ON THE PROJECTOR.

- * READ TITLES OF OTHER MODULES
- * MENTION THOSE MODULES WHICH THE PARTICIPANTS WILL BE COMPLETING
- * MENTION DATES AND TIMES FOR ALL MODULES

PERFORMANCE EVALUATION WORKSHOP
FOR IN-SERVICE MANAGERS

WORKSHOP SEQUENCE

MODULE ONE	PERFORMANCE EVALUATION SYSTEMS
MODULE TWO	METHODS OF PERFORMANCE EVALUATION
MODULE THREE	FORMULATING OBJECTIVES AND AVOIDING ERRORS
MODULE FOUR	EMPLOYEE FEEDBACK AND DEVELOPMENT

5. AGENDA FOR MODULE ONE

PLACE OVERHEAD SLIDE 1.14 ON THE PROJECTOR.

- READ AGENDA STATED ON SLIDE

AGENDA FOR MODULE ONE

- WORKSHOP OVERVIEW AND OBJECTIVES
- ROLES OF PERFORMANCE EVALUATION
- SYSTEMS APPROACH TO PERFORMANCE EVALUATION
- FACTORS TO CONSIDER
- WHO SHOULD EVALUATE
- COMPONENTS OF SUCCESSFUL PERFORMANCE EVALUATION SYSTEMS
- RESISTANCE TO PERFORMANCE EVALUATION
- PERFORMANCE EVALUATION AND E.E.O. COMPLIANCE
- CRITERIA FOR EVALUATING BIAS IN PERFORMANCE SYSTEMS
- PEOPLE AND THEIR PERFORMANCE
- PERFORMANCE EVALUATION AND MANAGEMENT BY OBJECTIVES
- PSYCHOLOGY OF PERFORMANCE EVALUATION
- QUESTIONS AND DISCUSSION

6. PRE-TEST

- * REFER PARTICIPANTS TO THE PRE-TEST IN THEIR MANUALS. STRESS THAT THE PURPOSE OF THIS PRE-TEST IS NOT TO EVALUATE THEM BUT RATHER TO MAKE EACH PARTICIPANT AWARE OF HIS OR HER OWN LEVEL OF EXPERTISE IN THE MATERIAL TO BE COVERED IN THIS MODULE.

IF THE INSTRUCTOR WISHES TO USE THE PRE-TEST AND THE POST-TEST AS MEASURES OF PARTICIPANT LEARNING AND IF THERE IS NO REASON TO IDENTIFY INDIVIDUAL PARTICIPANTS BY NAME, ASK THE PARTICIPANTS TO MAKE UP A FOUR-DIGIT NUMBER AND TO PLACE THIS NUMBER IN THE UPPER RIGHT CORNER OF THE PRE-TEST. IF YOU ARE USING THE PRE-TEST AND POST-TEST TO EVALUATE LEARNING, IT IS BEST TO COLLECT THE PRE-TESTS IMMEDIATELY AFTER THEY HAVE BEEN COMPLETED. IF YOU ARE USING THE PRE-TESTS AS A MEANS OF SENSITIZING THE PARTICIPANTS TO THEIR OWN LEVEL OF EXPERTISE AND TO THE FORTHCOMING MATERIAL, THERE IS NO NEED TO COLLECT THE PRE-TESTS.

IF THE INSTRUCTOR CHOOSES NOT TO USE THE PRE-TEST, TELL THE PARTICIPANTS THAT THEY WILL NOT BE COMPLETING THE PRE-TEST.

LIMIT THE PRE-TEST TIME TO 15 MINUTES.

7. ROLES OF PERFORMANCE EVALUATION

- * ASK PARTICIPANTS TO GENERATE AS MANY USES OF P.E. AS THEY CAN

RECORD USES AS THEY ARE GENERATED BY THE PARTICIPANTS

ONCE PARTICIPANTS HAVE FINISHED, PLACE OVERHEAD SLIDE 1.18 ON THE PROJECTOR AND DISCUSS THOSE ROLES NOT MENTIONED BY THE PARTICIPANTS. ELABORATE ON THOSE NOT DISCUSSED.

EXPLANATION OF SLIDE 1.18

- MAINTAIN CONTROL -- Performance Evaluation Systems should establish desired levels of performance (quantity, quality, etc.) against which one's performance can be compared. In addition, some employees perform better if they know they will be evaluated.
- IDENTIFY INDIVIDUAL TRAINING NEEDS -- Performance evaluations should be able to identify employee strengths and weaknesses. Many weaknesses can be eliminated, at least partially, through training.
- PROMOTION -- Performance evaluation results can be one piece of information considered for promotion.
- DEMOTION -- A history of poor performance evaluations may be grounds for demoting, or in the extreme case, terminating, an employee.
- MERIT INCREASES OR BONUSES -- Some governmental agencies have developed merit increase systems linked to performance evaluation systems.
- TRANSFER -- Performance evaluations can provide information for making more rational (or logical) transfer of employees to different positions.

EXPLANATION OF SLIDE 1.18 (Continued)

- IDENTIFICATION OF TRAINING NEEDS FOR GROUPS OR UNITS -- If statistical summaries of performance evaluations indicate weaknesses common to groups or units, then training needs have been identified in this fashion.
- FEEDBACK -- This is the most important function of performance evaluation. If nothing else is accomplished, a good performance evaluation system will cause the supervisor and the subordinate to discuss the behavior of the subordinate. The more specific the behaviors discussed, the greater the feedback potential for the employee.

ROLES OF PERFORMANCE EVALUATION

MAINTAIN CONTROL (GOODS, SERVICES, ETC.)

IDENTIFY INDIVIDUAL TRAINING NEEDS

PROMOTION

DEMOTION

MERIT INCREASES OR BONUSES

TRANSFER

IDENTIFICATION OF TRAINING NEEDS FOR GROUPS OR UNITS

FEEDBACK

8. SYSTEMS APPROACH

THE PURPOSE OF THIS SEGMENT IS TO SHOW THAT PERFORMANCE EVALUATION HAS IMPLICATIONS FOR THE ENTIRE ORGANIZATION, ESPECIALLY FOR THE PERSONNEL COMPONENTS OF THE ORGANIZATION.

PLACE OVERHEAD SLIDE 1.21 ON THE PROJECTOR. MENTION THE FOLLOWING POINTS FOR EACH SYSTEM COMPONENT.

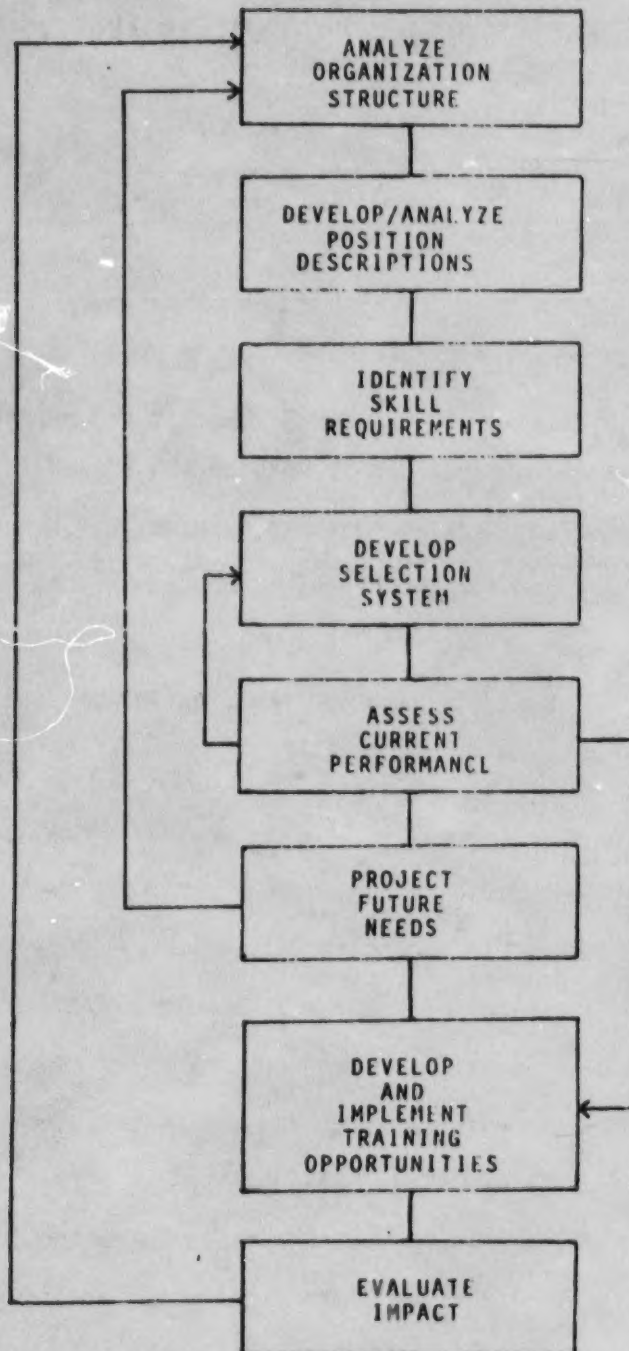
EXPLANATION OF SLIDE 1.21

- ANALYZE ORGANIZATION STRUCTURE -- Does the organization structure "make sense" the way it currently is? Oftentimes poor performance can be traced to unwieldy structures.
- DEVELOP/ANALYZE POSITION DESCRIPTIONS -- Are detailed position descriptions available for each position? These descriptions should be used as a guide for selection, training, evaluation, etc.
- IDENTIFY SKILL REQUIREMENTS -- On the basis of the position descriptions critical skill requirements for each position should be developed.
- DEVELOP SELECTION SYSTEM -- The skill requirements should feed directly into the methods (tests, interviews, etc.) used to select personnel for each position.
- ASSESS CURRENT PERFORMANCE -- This is the focus of the workshop you are attending. Does the selection system give you the right kind of people? How are your personnel currently performing? Etc.
- PROJECT FUTURE NEEDS -- What are your turnover rates? What career paths are open to your staff? What potential is indicated by current performance?

EXPLANATION OF SLIDE 1.21 (Continued)

- DEVELOP AND IMPLEMENT TRAINING OPPORTUNITIES -- Using current performance evaluations and projections of future needs, determine training priorities and methods of implementation.
- EVALUATE IMPACT -- Is performance improving? Are you meeting current needs? Are you building for the future? Are you taking a systematic approach?

SYSTEMS APPROACH



9. SOME FACTORS TO BE CONSIDERED

- * PERFORMANCE EVALUATION SYSTEMS ARE NOT ONLY PART OF THE TOTAL ORGANIZATION SYSTEM, THEY ARE ALSO SUBJECT TO OTHER CONSTRAINTS OPERATING BOTH WITHIN AND EXTERNAL TO THE ORGANIZATION.

PLACE OVERHEAD SLIDE 1.25 ON THE PROJECTOR.

EXPLANATION OF SLIDE 1.25

- * EXTERNAL FACTORS -- These are "forces" external to the organization which have the potential for significant impact on the organization and which must be considered when evaluating both personnel and total organizational performance. Primary among these external factors are the expectations the public has for the organization and the degree of support the organization receives from the public. Both of these factors must be considered when designing and implementing performance evaluation systems.
- * INTERNAL FACTORS -- These are "forces" within the boundaries of the organization which should be considered and/or reflected in the performance evaluation system. These forces include:
 - * The goals of the organization. How are these goals reflected in the performance evaluation system?
 - * The objectives of the organization. How are these objectives reflected in the performance evaluation system?
 - * Manpower/Staffing -- Are there enough people to do the job? Do supervisors have the time to complete lengthy performance evaluation reports?

EXPLANATION OF SLIDE 1.25 (Continued)

- * Financing -- Is the organization's budget contingent on a certain level of performance? Are there funds available for merit increases or bonuses?
- * What is the climate for change? Will you have to "pull teeth" to implement a performance evaluation system? What has been your organization's experience with other performance evaluation systems?
- * Management philosophy -- Where do your managers' fall on the "Theory X" --- "Theory Y" continuum. Joint setting of objectives will not work under an authoritarian/autocratic management philosophy.
- * What impact will performance evaluation have on your agency in terms of: (1) time required to implement, (2) time required to operate, (3) expenses, (4) effect on workflow
- * Special conditions -- What support and/or resistance will you get from your union, civil service, fraternal organizations, etc.? How will civil service and/or unions be involved in the design of the performance evaluation system?
- TECHNICAL FACTORS -- These are "forces" within the organization that directly impact the performance evaluation system.
 - * Organization structure -- When and under what circumstances are there formal performance reviews? Informal performance reviews? What records are kept? Who has access to these records?
 - * Character and descriptions of positions -- How many different job categories are in the organization? How good are your position descriptions?

EXPLANATION OF SLIDE 1.25 (Continued)

- * Ability to assess current performance -- Can raters currently evaluate performance? How much direct contact do raters have with those being rated? Do raters know enough about the jobs to evaluate performance? Who will actually do the rating?

SOME FACTORS TO BE CONSIDERED

EXTERNAL FACTORS

PUBLIC EXPECTATIONS

PUBLIC (CLIENT) SUPPORT

INTERNAL FACTORS

GOALS

OBJECTIVES

MANPOWER

FINANCING

CLIMATE FOR CHANGE

MANAGEMENT PHILOSOPHY

AGENCY IMPACT

SPECIAL CONDITIONS

- UNIONS
- CIVIL SERVICE

TECHNICAL FACTORS

ORGANIZATIONAL STRUCTURE

- FORMAL REVIEWS
- INFORMAL REVIEWS

CHARACTER AND DESCRIPTIONS OF POSITIONS

ABILITY TO ASSESS CURRENT PERFORMANCE

10. WHO SHOULD EVALUATE -- 1.

- * MANY EMPLOYEES ASSUME THAT PERFORMANCE EVALUATION AUTOMATICALLY IMPLIES EVALUATION OF A SUBORDINATE BY A SUPERIOR. HOWEVER, THERE ARE AT LEAST FOUR DIFFERENT POTENTIAL RATERS FOR EACH PERSON BEING RATED.

PLACE OVERHEAD SLIDE 1.27 ON THE PROJECTOR. BE SURE TO KEEP THE BOTTOM PORTION OF THE SLIDE COVERED.

- * SUPERIORS, PEERS, SELF, AND SUBORDINATES ARE ALL POTENTIAL RATERS. THERE ARE A NUMBER OF POINTS TO BE CONSIDERED WHEN DECIDING WHO SHOULD ACTUALLY DO THE PERFORMANCE EVALUATION. THE MOST IMPORTANT POINT TO BE CONSIDERED IS?

ASK PARTICIPANTS FOR THEIR IDEAS ON THE MOST IMPORTANT POINT TO BE CONSIDERED WHEN CHOOSING RATERS. LIST THEIR IDEAS AS THEY ARE GENERATED. ONCE PARTICIPANTS HAVE GIVEN THEIR SUGGESTIONS, REMOVE THE COVER FROM THE BOTTOM PORTION OF SLIDE 1.27.

- * THE RATER MUST BE FAMILIAR WITH THE ACTUAL PERFORMANCE OF THE PERSON BEING RATED IF THE PERFORMANCE RATINGS ARE TO HAVE ANY VALUE AT ALL.

WHO SHOULD EVALUATE

THE WHO

SUPERIORS

PEERS

SELF

SUBORDINATES

CLIENTS

KEY FACTOR

HAS THE RATER ACTUALLY OBSERVED THE BEHAVIOR AND/OR THE
RESULTS OF THAT BEHAVIOR OF THE PERSON BEING RATED ???

11. WHO SHOULD EVALUATE -- II.

ASK PARTICIPANTS TO LIST AS MANY ADVANTAGES/BENEFITS AND DRAWBACKS/DISADVANTAGES FOR EACH OF THE POSSIBLE RATERS LISTED ON SLIDE 1.27. RECORD THE BENEFITS AND DRAWBACKS AS THEY ARE SUGGESTED BY THE PARTICIPANTS. ONCE THEY HAVE COMPLETED THEIR SUGGESTIONS, PLACE SLIDE 1.30 ON THE PROJECTOR AND BRIEFLY DISCUSS EACH OF THE BENEFITS AND DRAWBACKS.

- * EACH ORGANIZATION DIFFERS, BUT IN GENERAL WE CAN SAY THAT THE GREATER THE NUMBER OF KNOWLEDGEABLE RATERS WHO RATE A PARTICULAR PERSON, THE MORE STABLE IS THE AVERAGE OF THOSE RATINGS.

TO DEMONSTRATE THIS POINT, DRAW A LINE ON THE OVERHEAD PROJECTOR OR ON THE BLACKBOARD OR EASEL. THE LINE CAN BE OF ANY LENGTH. ASK THE PARTICIPANTS TO INDIVIDUALLY ESTIMATE THE LENGTH OF THE LINE AND TO RECORD THEIR ESTIMATE. ASK EACH PARTICIPANT TO READ HIS/HER ESTIMATED LENGTH. RECORD THESE ESTIMATES. COMPUTE THE AVERAGE OF THE ESTIMATES. MEASURE THE LINE AND COMPARE THE ACTUAL LENGTH WITH THE ESTIMATED LENGTH. (YOU CAN USE ONE SIDE OF AN 8 1/2 X 11 SHEET OF PAPER TO MEASURE THE LINE.) POINT OUT THAT THE AVERAGE OF THE ESTIMATES IS VERY CLOSE TO THE ACTUAL LENGTH WHILE MANY OF THE INDIVIDUAL ESTIMATES MISS THE MARK BY A WIDE MARGIN.

EXPLANATION OF SLIDE 1.30

- **BENEFITS** -- As mentioned on the previous page, performance evaluations tend to improve as we add raters who have different perspectives. Each of these potential raters provides additional feedback to the person being rated in addition to providing the person who will be reviewing the performance evaluation results with the ratee with valuable information.
- **DRAWBACKS** -- Any rater who is not familiar with the actual performance of the person being rated will not be able to do a good job of rating. Any rater who is biased will not be able to rate the performance of the ratee objectively. Occasionally superiors are threatened by outstanding subordinates and "downgrade" these subordinates in an attempt to make themselves (the superior) look better than the subordinate. If peer ratings or subordinates ratings are used, the anonymity of the peers and subordinates must be guaranteed. There are a number of ways to do this. Probably the easiest is to use peer and subordinate ratings only when there are two or more peers or subordinates and to present the results of these ratings as averages. For example, a superior would be told that the average rating given to him/her by five subordinates on the first criterion was 5.67.

We will have a lot more to say about rater errors, bias, and so on in the third module.

"WHO" SHOULD EVALUATE?

BENEFITS AND DRAWBACKS

THE WHO

THE BENEFITS

THE DRAWBACKS

SUPERIORS

ANOTHER PERSPECTIVE
FEEDBACK

MAY BE BIASED
NOT FAMILIAR WITH WORK
THREATENED BY "HOTSHOT"

PEERS

ANOTHER PERSPECTIVE
FEEDBACK

MAY BE BIASED
NOT FAMILIAR WITH WORK
ANONYMITY MUST BE ASSURED

SELF

ANOTHER PERSPECTIVE
PARTICIPATIVE

MAY MAKE BOSS DEFENSIVE
MAY BE BIASED

SUBORDINATES

ANOTHER PERSPECTIVE
FEEDBACK

NOT FAMILIAR WITH WORK
MAY BE BIASED
"AXE TO GRIND"
ANONYMITY MUST BE ASSURED

CLIENTS

ANOTHER PERSPECTIVE
FEEDBACK

MAY BE BIASED
"AXE TO GRIND"

12. COMPONENTS OF SUCCESSFUL SYSTEMS

- THERE ARE MAJOR DIFFERENCES BETWEEN PERFORMANCE EVALUATION SYSTEMS IN ORGANIZATIONS WHERE THE SYSTEMS ARE SUCCESSFUL AND THOSE THAT HAVE LESS SUCCESSFUL SYSTEMS. STUDIES OF THESE ORGANIZATIONS HAVE INDICATED THAT THE RELATIVE SUCCESS (OR FAILURE) OF THE PERFORMANCE EVALUATION SYSTEM CAN BE ATTRIBUTED TO THE FOLLOWING FACTORS:

PLACE OVERHEAD SLIDE 1.33 ON THE PROJECTOR

EXPLANATION OF SLIDE 1.33

- PARTICIPATION IN DEVELOPMENT OF SYSTEM -- Performance evaluation systems "imposed" on the organization or "borrowed" from another organization usually meet resistance. As mentioned earlier when discussing SOME FACTORS TO CONSIDER, management, unions, hourly employees, special interest groups, etc. should be involved in developing your performance evaluation system. This point extends to asking for comments on ways to improve the current performance evaluation system.
- MANAGEMENT SUPPORT (MODELING EFFECT) -- In many organizations performance evaluations are restricted to first line supervisors and hourly employees. Top management support rings hollow when top management does not use a performance evaluation system. The opposite effect occurs when all levels of management both support and use a performance evaluation system.
- IN-HOUSE "EXPERT" -- If you hire a consultant to design your performance evaluation system, be sure that someone inside your organization works closely with the consultant so that someone can answer all the questions about the day to day use of the system.

EXPLANATION OF SLIDE 1.33 (Continued)

- **TRAINING** -- Even the best performance evaluation rating form can not survive by itself if the raters and ratees do not understand the entire performance evaluation system. The most efficient way to educate all those involved is through training. Some of the most effective systems include the performance evaluation training in their new employee orientation programs as well as annual training for all those using the rating system.
- **FEEDBACK** -- This is what employee performance evaluation is all about. The ratees must be told how they were rated. When performance evaluation forms are completed and placed in a personnel folder without being shown to the ratees, a valuable source of feedback has been wasted. The raters should receive feedback on how they compare with other raters. This point will be addressed again in the third module. Management should receive feedback on how people were rated, how the system is functioning, etc. A statistical summary of ratings by organization, department, EEO category, etc. is extremely valuable.

COMPONENTS OF SUCCESSFUL SYSTEMS

- PARTICIPATION IN DEVELOPMENT OF SYSTEM
- MANAGEMENT SUPPORT (MODELING EFFECT)
- IN-HOUSE "EXPERT" TO ANSWER QUESTIONS AND COORDINATE
- TRAINING (BOTH ORIENTATION AND ONGOING)
- FEEDBACK TO:
 - (1) RATEES -- HOW AM I DOING?
 - (2) RATERS -- HOW DO I COMPARE WITH OTHER RATERS?
 - (3) MANAGEMENT -- HOW IS THE SYSTEM OPERATING?
- FEEDBACK PROVIDED AT LEAST SEMI-ANNUALLY AND HOPEFULLY ON A QUARTERLY BASIS

13. RESISTANCE TO PERFORMANCE EVALUATION

- * MORE OFTEN THAN NOT PERFORMANCE EVALUATION SYSTEMS ARE FACED WITH SUBTLE, AND NOT VERY SUBTLE, RESISTANCE. SOME OF THIS RESISTANCE CAN BE ATTRIBUTED TO THE RATER, SOME TO THE PERFORMANCE EVALUATION SYSTEM ITSELF, AND SOME TO THE ORGANIZATION'S USE OF THE PERFORMANCE EVALUATION SYSTEM.

ASK PARTICIPANTS TO SUGGEST REASONS FOR THE RESISTANCE TO PERFORMANCE EVALUATION THAT IS OFTEN SEEN. RECORD THESE REASONS ON A BLACKBOARD OR EASEL. AFTER PARTICIPANTS HAVE COMPLETED THEIR LISTING, PLACE OVERHEAD SLIDE 1.35 ON THE PROJECTOR.

- * REVIEW MATERIAL PRESENTED ON SLIDE.

RESISTANCE TO PERFORMANCE EVALUATION

- FEAR OF THE UNKNOWN -- WHY ARE THEY REALLY DOING THIS
- ANOTHER DEMAND ON LIMITED TIME -- WHAT IS THE PAYOFF?
- INERTIA -- THINGS ARE COMFORTABLE THE WAY THEY ARE
- DISRUPTION -- PERFORMANCE EVALUATION MAY MAKE SOME EMPLOYEES DISLIKE ME
- RATER LACK OF TRAINING -- WHAT AM I SUPPOSED TO BE DOING?
- RATEE LACK OF TRAINING -- WHAT IS THE PURPOSE OF ALL THIS?
- RATER LACK OF CONFIDENCE -- WHAT DO I DO IF SOMEONE GETS UPSET?
- MOVING TOO QUICKLY -- LET'S HIT THE GROUND RUNNING WITH THIS
- OVERSIGHTS -- FAILURE TO TOUCH BASE WITH UNIONS, CIVIL SERVICE, PROFESSIONAL ASSOCIATIONS, ETC.

14. EQUAL EMPLOYMENT OPPORTUNITY (E.E.O.) AND PERFORMANCE EVALUATION SYSTEMS

- * YOU MAY HAVE HEARD OF THE FEDERAL LEGISLATION CONCERNING NON-DISCRIMINATION IN THE SELECTION OF EMPLOYEES. HOWEVER, MANY MANAGERS ARE NOT AWARE THAT THIS SAME BODY OF LEGISLATION ALSO PERTAINS TO PERFORMANCE EVALUATION SYSTEMS.

PLACE OVERHEAD SLIDE 1.37 ON THE PROJECTOR

- * IT SHOULD BE OBVIOUS FROM THE SLIDE THAT MOST PERFORMANCE EVALUATION SYSTEMS MUST COMPLY WITH E.E.O. REQUIREMENTS. THESE REQUIREMENTS CAN BE SUMMARIZED IN TWO WORDS:

- RELIABILITY
- VALIDITY

E.E.O. AND PERFORMANCE EVALUATION SYSTEMS

IF PERFORMANCE EVALUATION SCORES OR RATINGS ARE USED, IN WHOLE OR IN PART, FOR ANY OF THE FOLLOWING DECISIONS:

- SELECTION
- PROMOTION
- DEMOTION
- TERMINATION
- SPECIAL ASSIGNMENT
- TRAINING
- TRANSFER
- AND RELATED DECISIONS

THEN YOUR PERFORMANCE EVALUATION SYSTEM MUST BE:

- RELIABLE
- VALID

15. STANDARDS FOR ANY PERFORMANCE SYSTEM

- * NOT ONLY ARE RELIABILITY AND VALIDITY ESSENTIAL FOR COMPLIANCE WITH E.E.O. REQUIREMENTS, THEY ARE ALSO NECESSARY FOR ANY PERFORMANCE EVALUATION SYSTEM TO BE SUCCESSFUL. THE E.E.O. REQUIREMENTS ARE DOING LITTLE MORE THAN PUTTING THE FORCE OF LAW BEHIND ESTABLISHED SOUND PERSONNEL PRACTICES.

PLACE OVERHEAD SLIDE 1.40 ON THE PROJECTOR

EXPLANATION OF SLIDE 1.40

- RELIABILITY -- Refers to consistency in measurement. In regard to performance evaluation systems, reliability means that two raters who are both rating Mary Miller will give Mary Miller approximately the same rating. Another way of looking at reliability is to ask if rater A. would give Mary Miller approximately the same rating if Mary Miller were rated once during the first week of May and again during the second week of May. If ratings reflect little more than the day of the week or the mood of the rater, they are useless. Reliability also means that the ratings are free from bias and prejudice, both of which are characteristics of the rater rather than the ratee. That is, a male rater who is biased against women may give Mary Miller a lower rating than she deserves. The bias is in the male rater, not in Mary Miller.
- VALIDITY -- Validity refers to the degree to which performance evaluation criteria are actually related to the job. The most obvious requirement stemming from validity is that the criteria used in the performance evaluation system be related to the tasks

EXPLANATION OF SLIDE 1.40 (Continued)

actually performed on the job. A more subtle requirement of validity is that the scores on the performance evaluation instrument actually reflect differences in performance. It would not make sense if the top performer received the lowest rating. Nor does it make sense for all performers to receive the same, or almost the same, rating regardless of performance.

- E.E.O. QUESTIONS RAISED BY RELIABILITY AND VALIDITY -- In regard to E.E.O. we should be able to answer all of the questions listed on Slide 1.40. And, hopefully, the answer to each question will be "NO".

STANDARDS FOR ANY PERFORMANCE SYSTEM

RELIABILITY

- CONSISTENCY BETWEEN RATERS
- FREEDOM FROM BIAS

VALIDITY

- CRITERIA ARE JOB RELATED
- CRITERIA ACTUALLY REFLECT DIFFERENCES IN PERFORMANCE

E.E.O. QUESTIONS RAISED BY RELIABILITY AND VALIDITY

- ARE MINORITIES CONSISTENTLY RATED LOWER THAN WHITES
- ARE WOMEN CONSISTENTLY RATED LOWER THAN MEN
- ARE OLDER EMPLOYEES CONSISTENTLY RATED LOWER THAN YOUNGER EMPLOYEES
- IS ONE JOB CLASSIFICATION CONSISTENTLY RATED LOWER THAN ANOTHER CLASSIFICATION

16. EXAMPLES OF SYSTEMATIC BIAS IN PERFORMANCE EVALUATION SYSTEMS

- * THE E.E.O. REQUIREMENTS JUST MENTIONED ARE CLEAR IN THEIR PROHIBITION OF SYSTEMATIC BIAS. NOW LET US LOOK AT SOME EXAMPLES OF ACTUAL PERFORMANCE RATINGS AND DETERMINE IF THERE IS ANY EVIDENCE OF BIAS. ASSUME THAT WE ARE DEALING WITH A CITY GOVERNMENT EMPLOYING TWO THOUSAND PERSONNEL. WE WILL STUDY A STATISTICAL ANALYSIS OF RATINGS ON THREE OF THE CRITERIA.

PLACE OVERHEAD SLIDE 1.43 ON THE PROJECTOR.

- * ASK THE PARTICIPANTS TO STUDY THIS SLIDE. DO THEY SEE ANY INDICATIONS OF SYSTEMATIC BIAS?

EXPLANATION OF SLIDE 1.43

Slide 1.43 exemplifies systematic bias on the basis of job level. On the left side of the Slide are listed the eight E.E.O.C. job categories that all organizations use when completing their E.E.O. reports. On the right hand of the Slide are listed the average rating received by everyone in a particular job category for criterion one. Assume that criterion one focusses on ability to meet deadlines. You will notice that as we go from upper level jobs to lower level jobs, the average rating received decreases. There is probably no actual difference in ability to meet deadlines among the different organizational levels. Therefore this would be an indication of bias.

PLACE OVERHEAD SLIDE 1.44 ON THE PROJECTOR.

16. EXAMPLES OF BIAS -- CONTINUED

- * ASK THE PARTICIPANTS TO STUDY THIS SLIDE. DO THEY SEE ANY INDICATIONS OF SYSTEMATIC BIAS?

EXPLANATION OF SLIDE 1.44

Slide 1.44 presents the E.E.O.C. job categories on the left side and the average rating received by males and females on criterion six on the right side. Assume that criterion six measures ability to get along with co-workers. With the exception of the OFFICE/CLERICAL category, females are rated lower than males in every job category. This is probably an indication of bias. In addition, the lower rating received by males in the OFFICE/CLERICAL category is probably another indication of bias.

PLACE OVERHEAD SLIDE 1.45 ON THE PROJECTOR.

- * ASK THE PARTICIPANTS TO STUDY THIS SLIDE. DO THEY SEE ANY INDICATIONS OF SYSTEMATIC BIAS?

EXPLANATION OF SLIDE 1.45

The left hand side of Slide 1.45 lists the E.E.O.C. job categories. The right hand side of the Slide presents the average rating received on criterion four for each job category for both non-whites and whites. Assume that criterion four measures written communication skills. There are two types of systematic bias presented here. The first is what might be called "reverse" discrimination. With the exception of the SKILLED CRAFTS category, non-whites are rated higher than whites. We can also see bias by job level as we saw in Slide 1.43.

E.E.O.C. JOB CATEGORIES

AVERAGE RATING RECEIVED
CRITERION ONE

OFFICIALS/ADMINISTRATORS	7.46
PROFESSIONALS	7.36
TECHNICIANS	6.44
PROTECTIVE SERVICE	6.30
PARAPROFESSIONALS	6.86
OFFICE/CLERICAL	6.21
SKILLED CRAFTS	6.44
SERVICE/MAINTENANCE	5.68

E.E.O.C. JOB CATEGORIES

AVERAGE RATING RECEIVED
CRITERION SIX

	FEMALE	MALE
OFFICIALS/ADMINISTRATORS	6.36	6.56
PROFESSIONALS	7.28	7.44
TECHNICIANS	6.37	6.51
PROTECTIVE SERVICE	5.41	6.34
PARAPROFESSIONALS	6.86	6.86
OFFICE/CLERICAL	6.42	6.00
SKILLED CRAFTS	5.36	6.54
SERVICE/MAINTENANCE	6.67	6.70

E.E.O.C. JOB CATEGORIES

	AVERAGE RATING RECEIVED CRITERION FOUR	
	NON-WHITE	WHITE
OFFICIALS/ADMINISTRATIONS	6.58	6.38
PROFESSIONALS	7.46	7.30
TECHNICIANS	6.54	6.51
PROTECTIVE SERVICE	6.34	5.78
PARAPROFESSIONALS	6.89	6.68
OFFICE/CLERICAL	6.67	6.35
SKILLED CRAFTS	5.23	6.65
SERVICE/MAINTENANCE	5.98	5.76

17. PEOPLE AND THEIR PERFORMANCE

- * MOST PERFORMANCE EVALUATION SYSTEMS IN USE TODAY DO NOT ACCURATELY REFLECT THE PERFORMANCE OF THE PEOPLE BEING RATED. MOREOVER, MOST SYSTEMS YIELD RATINGS THAT ARE USUALLY "TOO HIGH". LET'S TAKE A CLOSE LOOK AT HUMAN PERFORMANCE.
- * IF YOU NEVER FIRED ANY POOR PERFORMERS AND IF YOU NEVER LOST ANY OF YOUR TOP PERFORMERS, THEN A PICTURE OF THE "REAL" PERFORMANCE IN YOUR ORGANIZATION WOULD PROBABLY RESEMBLE THE NORMAL CURVE.

PLACE OVERHEAD SLIDE 1.48 ON THE PROJECTOR. COVER THE BOTTOM HALF OF THE SLIDE.

- * AS YOU CAN SEE, MOST OF THE PEOPLE FALL INTO THAT MIDDLE CATEGORY OF "MEET JOB STANDARDS". A FEW PEOPLE ARE UNACCEPTABLE AND A FEW ARE OUTSTANDING. HOWEVER, THIS CURVE DOES NOT REFLECT ACTUAL PERFORMANCE IN MOST ORGANIZATIONS BECAUSE WE DO FIRE POOR PERFORMERS AND WE DO LOSE SOME OUTSTANDING PERFORMERS. THEREFORE A PICTURE OF THE "REAL" PERFORMANCE IN YOUR ORGANIZATION AS IT ACTUALLY IS WOULD PROBABLY RESEMBLE THE MODIFIED NORMAL CURVE.

UNCOVER THE BOTTOM HALF OF SLIDE 1.48.

- * ON THIS MODIFIED CURVE THERE ARE FEWER PEOPLE IN THE UNACCEPTABLE CATEGORY, FEWER PEOPLE IN THE BELOW STANDARD CATEGORY, MORE PEOPLE IN THE MEET STANDARD

17. PEOPLE AND THEIR PERFORMANCE -- CONTINUED

CATEGORY, AND A FEW MORE IN THE ABOVE STANDARD CATEGORY. REMEMBER, THIS IS A PICTURE OF PERFORMANCE IN THE TYPICAL ORGANIZATION.

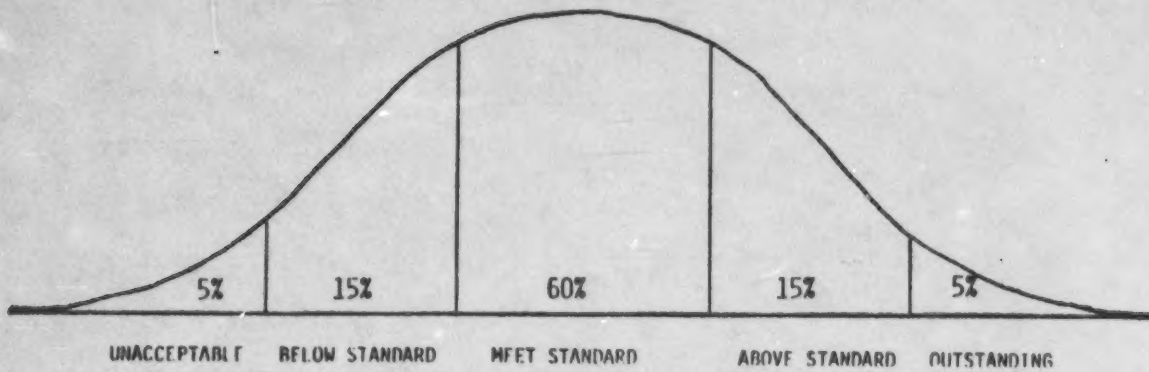
ASK THE PARTICIPANTS IF THEY HAVE ANY REASON TO SUSPECT THAT THE PERFORMANCE CURVE IN THEIR ORGANIZATION DIFFERS FROM THE MODIFIED NORMAL CURVE. IF THEY DO, LIST THE REASONS AND THEN CONSTRUCT A CURVE WHICH REFLECT THE CURRENT PERFORMANCE IN THEIR ORGANIZATION. REMEMBER, WE ARE TALKING ABOUT ACTUAL PERFORMANCE, NOT ABOUT THE CURRENT PERFORMANCE EVALUATION RATINGS.

- * NOW LET'S TURN OUR ATTENTION TO PERFORMANCE AS IT IS REFLECTED IN MOST ORGANIZATIONS' PERFORMANCE EVALUATION SYSTEMS.

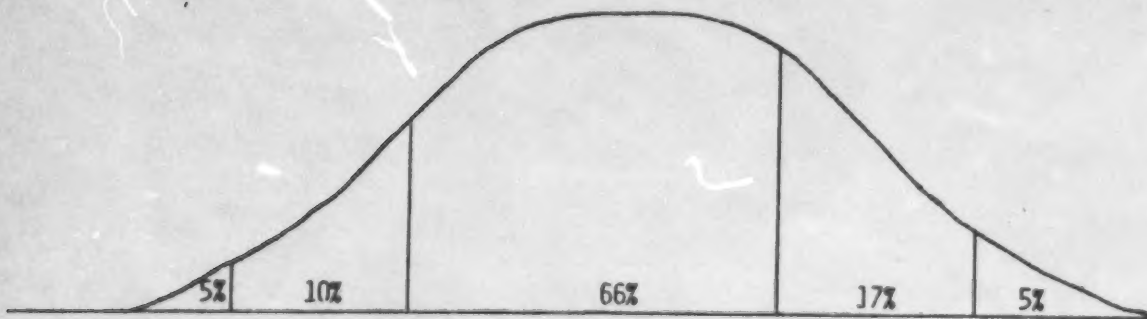
ASK PARTICIPANTS TO HELP YOU CONSTRUCT A PERFORMANCE CURVE WHICH REFLECTS THE PERFORMANCE EVALUATION RATINGS RECEIVED BY PEOPLE IN THE ORGANIZATION. AFTER THE CURVE HAS BEEN CONSTRUCTED, PLACE OVERHEAD SLIDE 1.49 ON THE PROJECTOR.

- * IF YOUR ORGANIZATION IS SIMILAR TO OTHERS, THE PERFORMANCE CURVE IS DISTORTED. THERE ARE VERY FEW UNACCEPTABLE AND BELOW STANDARD RATINGS, AND FAR TOO MANY ABOVE STANDARD AND OUTSTANDING RATINGS. IN THIS SITUATION, A RATING OF MEETS STANDARDS IS ACTUALLY A BELOW AVERAGE RATING.

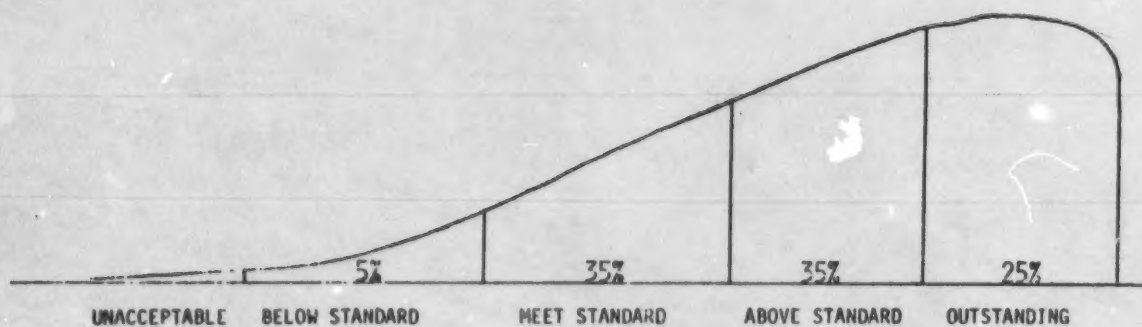
THE "NORMAL" CURVE



THE "MODIFIED NORMAL" CURVE



THE DISTORTED CURVE



18. RELATIONSHIP BETWEEN MBO AND PERFORMANCE EVALUATION

- * MANY GOVERNMENTAL UNITS ARE TURNING TO MANAGEMENT BY OBJECTIVES (MBO) AS ONE MEANS OF IMPROVING THEIR OVERALL EFFECTIVENESS. PERFORMANCE EVALUATION IS ACTUALLY AN INTEGRAL PART OF THE TOTAL MBO SYSTEM. A STANDARD PERFORMANCE EVALUATION FORM, OR FORMS, CAN EASILY BE INTEGRATED WITH THE MBO SYSTEM.

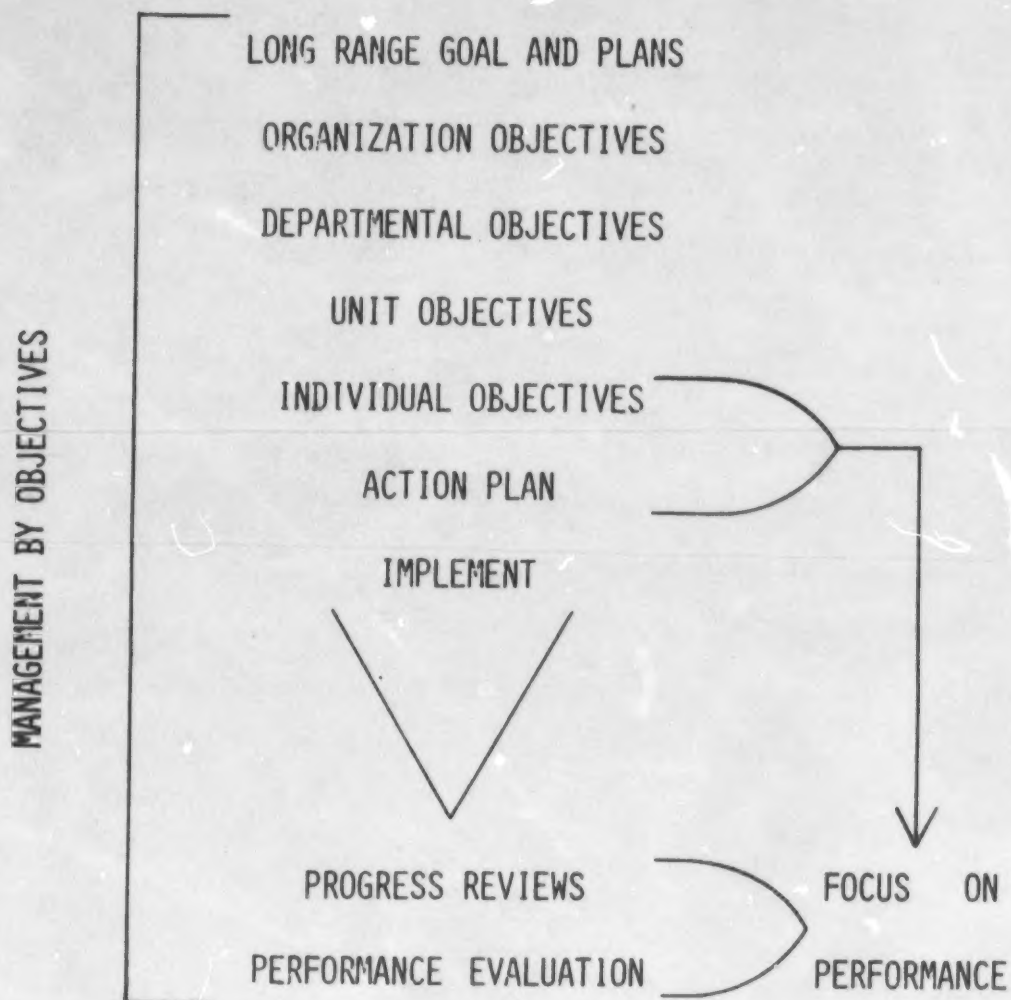
PLACE OVERHEAD SLIDE 1.51 ON THE PROJECTOR.

- * AS CAN BE SEEN ON THE SLIDE, WHEN MBO REACHES THE INDIVIDUAL'S LEVEL, THE EMPHASIS IS ON ESTABLISHING AND MEETING PERFORMANCE OBJECTIVES. IN MODULE FOUR WE WILL ADDRESS THE ISSUE OF SETTING PERFORMANCE OBJECTIVES IN DETAIL.

EXPLANATION OF SLIDE 1.51

Essentially, MBO involves setting an organizational mission and broad goals at the highest levels of the organization. These goals are then translated into more specific goals and objectives for each department, unit, or branch of the organization. At the individual employee's level, MBO involves setting specific performance objectives. For an in-depth discussion of performance objectives, see Module Three. It is at the level of individual performance objectives, action planning, and progress reviews that there is a high degree of overlap between MBO and performance evaluation.

RELATIONSHIP BETWEEN MBO AND PERFORMANCE EVALUATION



19. THE PSYCHOLOGY OF PERFORMANCE EVALUATION

MANY MANAGERS CONSIDER EMPLOYEE PERFORMANCE TO BE A DIRECT FUNCTION OF AN EMPLOYEE'S LEVEL OF MOTIVATION. IN REALITY, PERFORMANCE IS THE END PRODUCT OF A LARGE NUMBER OF FACTORS, SOME WITHIN THE EMPLOYEE AND SOME EXTERNAL TO THE EMPLOYEE. IT IS IMPORTANT TO CONSIDER ALL OF THESE FACTORS WHEN EVALUATING PERFORMANCE, ESPECIALLY WHEN WE ARE SEARCHING FOR CAUSES OF POOR PERFORMANCE.

PLACE OVERHEAD SLIDE 1.55 ON THE PROJECTOR.

EXPLANATION OF SLIDE 1.55

- Within the individual, performance is the result of both the employee's ability to do the job and the employee's motivation to perform at a certain level. Let's look at each of these factors.
- ABILITY -- Ability to do the job is a direct result of the employee's experience, motor skills (i.e., physical capacity to do the work required), and knowledge about the job. If the employee is weak in any one of these areas, potential performance may suffer. The arrow from PERFORMANCE to EXPERIENCE indicates that experience is a direct result of performance.
- MOTIVATION -- Motivation is much more complex than the carrot-and-the stick approach implies. Personal goals play an extremely important part in the motivation to perform, or not to perform. The closer personal goals are related to job goals, the higher the potential motivation. In addition to personal goals, we must consider the results of good and/or bad performance in the past. If level of

EXPLANATION OF SLIDE 1.55 (Continued)

performance is not related to any rewards or punishments, then we can not expect those employees who are motivated by external rewards and punishments to be motivated by a system that neither rewards nor punishes.

The last point we must consider is how the employee views himself or herself. How often have they succeeded or failed in the past? Do they consider themselves to be "successes" or "failures". This point is directly related to the self-fulfilling prophecy idea that what we believe can have a significant effect on what we do.

All the arrows on the motivation side of the chart indicate that each of the factors influences the other factors. For example, personal goals are based, in part, on past successes and failures.

- * AFTER YOU HAVE REVIEWED SLIDE 1.55 ASK THE PARTICIPANTS WHAT HAS BEEN OMITTED FROM THE DISCUSSION ON PERFORMANCE. LIST ALL THOSE IDEAS GENERATED BY THE PARTICIPANTS.

PLACE OVERHEAD SLIDE 1.56 ON THE PROJECTOR.

- * PEOPLE DO NOT EXIST IN VACUUMS. THE OBVIOUS OMISSION IN OUR DISCUSSION OF PERFORMANCE IS THE JOB SITUATION, OR ENVIRONMENT, IN WHICH THE PERSON WORKS. THIS ENVIRONMENT INCLUDES THE SUPERVISOR, CO-WORKERS, AND ALL THE OTHER FACTORS LISTED ON SLIDE 1.56.

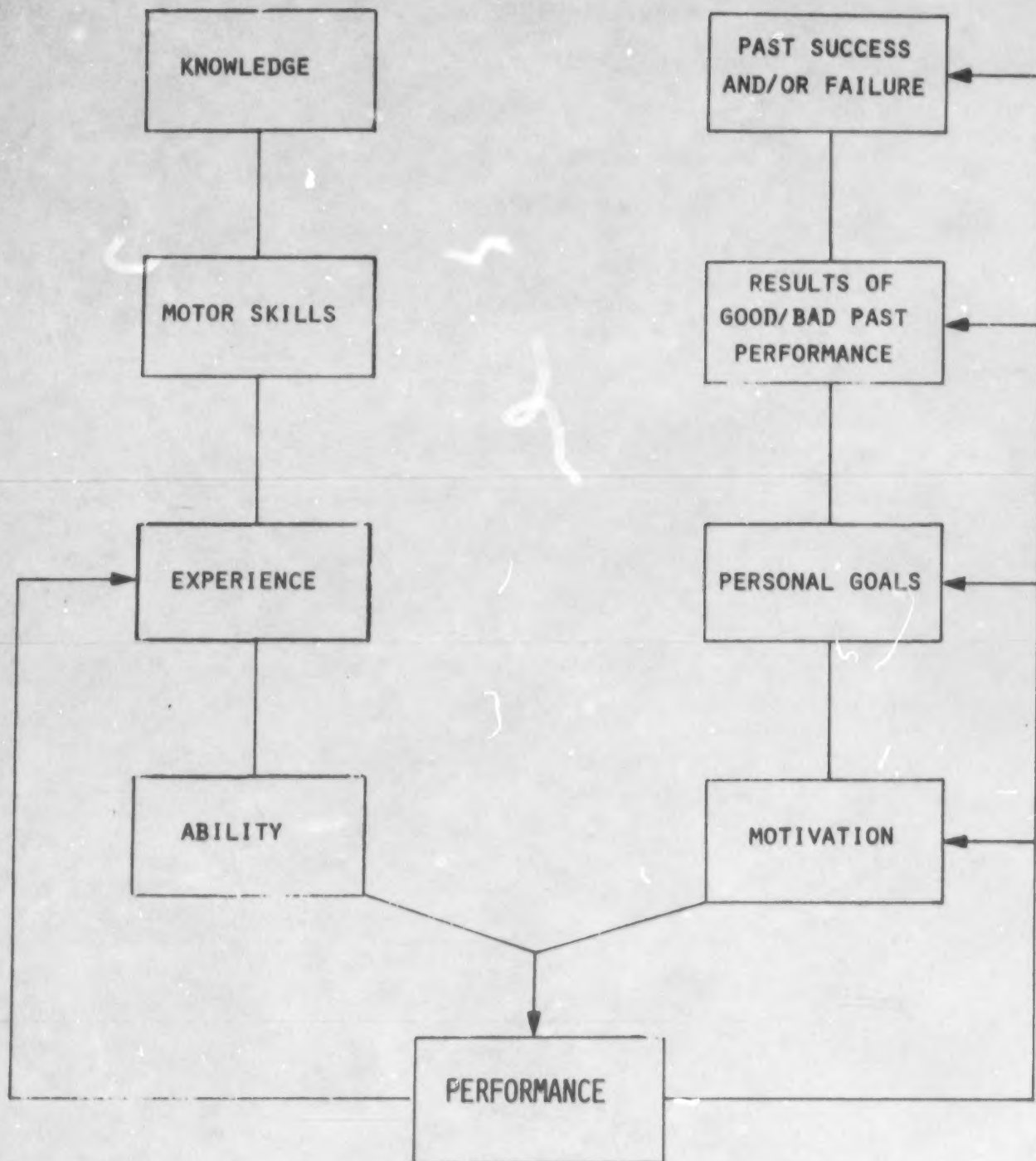
EXPLANATION OF SLIDE 1.56

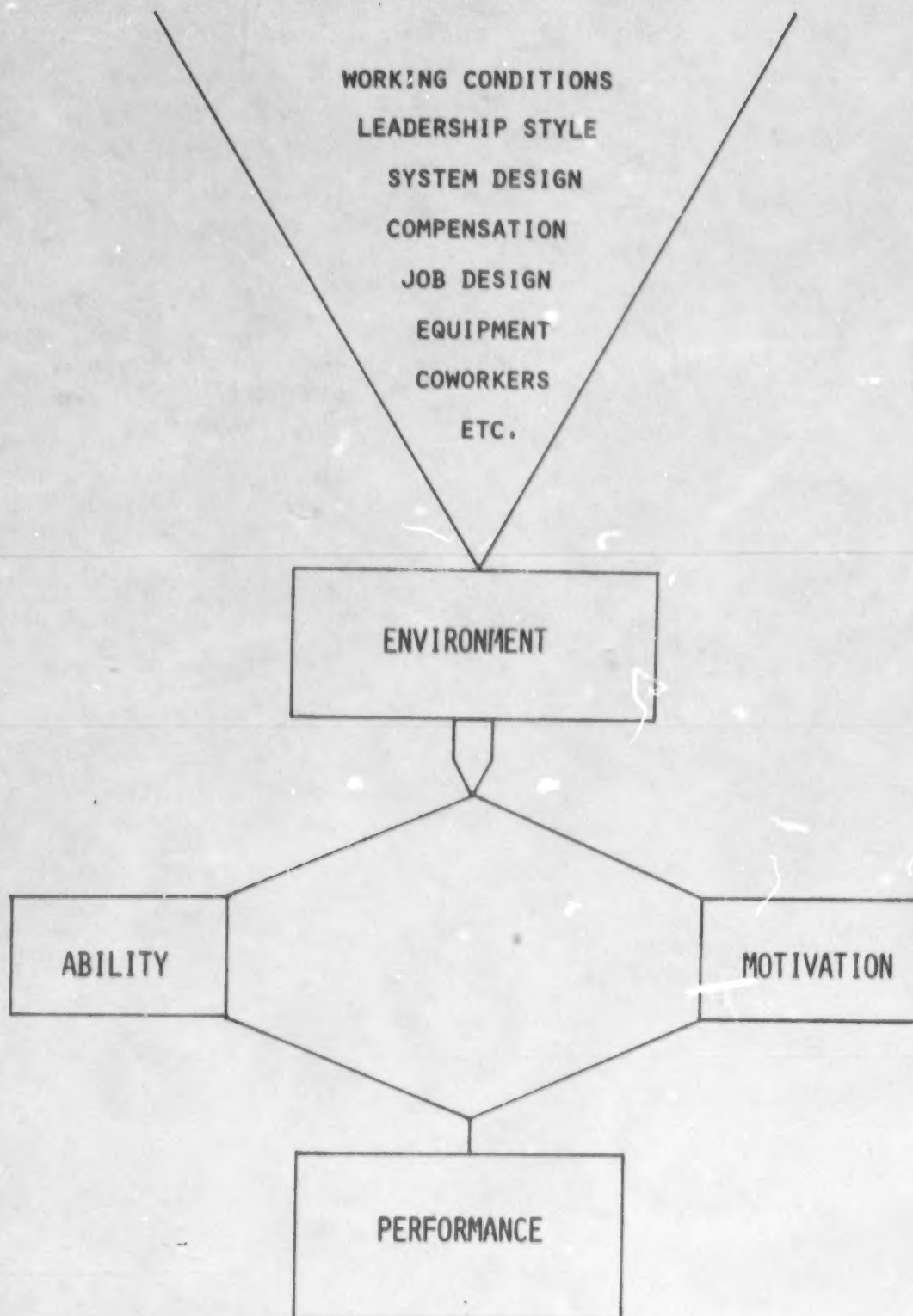
- ° ENVIRONMENT -- The environment includes everything that is external to,

EXPLANATION OF SLIDE 1.56 (Continued)

or outside of, the person which can have an effect on their performance. We can even extend this notion to include environmental factors away from the job such as family, hobbies, residence, etc.

- ° PERFORMANCE -- Performance, therefore, is the result of a combination of environmental factors, individual ability, and individual motivation. What makes this a complicated state of affairs is that all three of these components may have different effects, and probably will have, on employees. Therefore two employees working on the same job may perform at the same level, or at different levels, for entirely different reasons.





20. POST-TEST

- REFER PARTICIPANTS TO THE POST-TEST IN THEIR MANUALS.

ALLOW PARTICIPANTS 15 MINUTES TO COMPLETE THE POST-TEST.

AFTER THE POST-TEST HAS BEEN COMPLETED, HAVE PARTICIPANTS SCORE BOTH THE PRE-TEST AND THE POST-TEST USING THE ANSWER SHEET INCLUDED IN THEIR MANUAL.

IF YOU ARE USING THE PRE-TEST AND THE POST-TEST TO EVALUATE LEARNING, ASK PARTICIPANTS TO RECORD THEIR FOUR-DIGIT NUMBER IN THE UPPER RIGHT CORNER OF THE POST-TEST. IF YOU WILL BE RESPONSIBLE FOR SCORING THE POST-TESTS, YOU SHOULD REMOVE THE ANSWER SHEETS FROM THE PARTICIPANT'S MANUALS.

21. THIS CONCLUDES MODULE ONE

IF ANOTHER MODULE DIRECTLY FOLLOWS MODULE ONE, PROCEED TO THAT MODULE.

IF THERE WILL NOT BE ANOTHER MODULE IMMEDIATELY AFTER MODULE ONE, YOU MAY USE THIS TIME FOR COMPLETING ANY NECESSARY FORMS AND FOR OBTAINING FEEDBACK FROM THE PARTICIPANTS.

IF YOU HAVE A STANDARD COURSE FEEDBACK FORM, DISREGARD SLIDE 1.59. IF YOU DO NOT HAVE A FEEDBACK FORM, CONSIDER THE QUESTIONS ON SLIDE 1.59. THESE ARE GIVEN ONLY AS SUGGESTIONS. YOU ARE ENCOURAGED TO DEVELOP FEEDBACK QUESTIONS FOR YOURSELF.

PLACE OVERHEAD SLIDE 1.59 ON THE PROJECTOR.

WORKSHOP FEEDBACK

1. WHAT DID YOU LIKE BEST ABOUT THE WORKSHOP?
2. WHAT DID YOU LIKE LEAST ABOUT THE WORKSHOP?
3. TO WHAT EXTENT DO YOU THINK YOU WILL BE ABLE TO
USE THE INFORMATION PRESENTED IN THIS WORKSHOP?
4. DO YOU HAVE ANY OTHER COMMENTS?

COMPONENT OF MODULE:

STUDENT MANUAL

MODULE NO.:

ONE

MODULE TITLE:

PERFORMANCE EVALUATION SYSTEMS

THIS MODULE DEVELOPED BY:

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ACKNOWLEDGEMENTS

Throughout this training program we stress that performance evaluation begins and ends with behavior -- what the person has done or is actually doing. Without behavior there can be no performance. In another context we might have stressed that actions speak much more loudly than words.

Now we wish to acknowledge the words, actions, and behavior of the many practitioners and/or scholars who assisted us in the development of this performance evaluation training program.

Professors Fred Fiedler, Patrick Fleenor, and Gary Latham provided the curricular expertise for the project. Jack Cartwright and Robert Morton analyzed the material from a practitioner's point of view. The managers who participated in the tests of the training package provided both comments and data used in revising the material. The Washington Criminal Justice Training Commission, King County, and City of Palo Alto coordinated the testing of the package. And the National Training and Development Service staff fulfilled their staff function well.

INTRODUCTION

THIS MODULE PRESENTS AN OVERVIEW OF THE PERFORMANCE EVALUATION PROCESS INCLUDING THE WHAT, THE WHO, THE HOW, AND THE WHEN OF PERFORMANCE EVALUATION. IN THIS MODULE PERFORMANCE EVALUATION IS PRESENTED AS AN EMPLOYEE FEEDBACK AND DEVELOPMENT TOOL. EMPLOYEE PERFORMANCE IS RELATED TO THE SKILL, MOTIVATION, AND PAST EXPERIENCE OF THE INDIVIDUAL IN A PARTICULAR ORGANIZATIONAL SETTING. FIRST WE PRESENT A GENERAL MODEL FOR PERFORMANCE EVALUATION, THEN WE IDENTIFY THE VARIOUS USES OF PERFORMANCE EVALUATION RESULTS INCLUDING: EMPLOYEE DEVELOPMENT, IDENTIFICATION OF TRAINING NEEDS, CRITERIA FOR SELECTION, CRITERIA FOR EVALUATING BIAS IN RATING, EVALUATION OF TRAINING, PROMOTION, DEMOTION, AND PLANNING. GUIDELINES FOR SELECTING RATERS ARE PRESENTED AS WELL AS POSSIBLE AREAS OF RESISTANCE TO THE PERFORMANCE EVALUATION PROCESS.

THIS PARTICIPANT'S MANUAL CONTAINS COPIES OF ALL THE MATERIALS THAT YOU WILL BE USING DURING THE MODULE AS WELL AS COPIES OF ALL THE TRANSPARENCIES THAT THE INSTRUCTOR WILL BE USING.

MODULE ONE OBJECTIVES

BY THE CONCLUSION OF MODULE ONE PARTICIPANTS WILL BE ABLE TO:

- OUTLINE A SYSTEMS' APPROACH TO PERFORMANCE EVALUATION
- IDENTIFY THE VARIOUS USES OF PERFORMANCE EVALUATION RESULTS
- POINT OUT THE EMPLOYEE FEEDBACK AND DEVELOPMENT ASPECTS OF PERFORMANCE EVALUATION
- IDENTIFY THE EQUAL EMPLOYMENT OPPORTUNITY (E.E.O.) IMPLICATIONS OF PERFORMANCE EVALUATION SYSTEMS
- SHOW THE INTERRELATIONSHIP BETWEEN MANAGEMENT BY OBJECTIVES (MBO) AND PERFORMANCE EVALUATION
- IDENTIFY THE MULTIPLE FACTORS AFFECTING AN EMPLOYEE'S PERFORMANCE

AGENDA FOR MODULE ONE

- WORKSHOP OVERVIEW AND OBJECTIVES
- ROLES OF PERFORMANCE EVALUATION
- SYSTEMS APPROACH TO PERFORMANCE EVALUATION
- FACTORS TO CONSIDER
- WHO SHOULD EVALUATE
- COMPONENTS OF SUCCESSFUL PERFORMANCE EVALUATION SYSTEMS
- RESISTANCE TO PERFORMANCE EVALUATION
- PERFORMANCE EVALUATION AND E.E.O. COMPLIANCE
- CRITERIA FOR EVALUATING BIAS IN PERFORMANCE SYSTEMS
- PEOPLE AND THEIR PERFORMANCE
- PERFORMANCE EVALUATION AND MANAGEMENT BY OBJECTIVES
- PSYCHOLOGY OF PERFORMANCE EVALUATION
- QUESTIONS AND DISCUSSION

MODULE ONE PRE-TEST

MULTIPLE-CHOICE QUESTIONS

Below are a number of multiple choice questions on the performance evaluation process. For each question, please circle the letter (a., b., c., d., or e.) of that word or phrase which, when added to the incomplete statement, gives the best answer.

1. Employee performance can be evaluated by which of the following groups?
 - a. Superiors
 - b. Peers
 - c. Self
 - d. Subordinates
 - e. All of the above
2. A systematic procedure for developing a performance evaluation system would require a series of specific, interrelated steps. What would be the first thing you would do in establishing such a system?
 - a. Analyze organization structure
 - b. Develop/analyze position descriptions
 - c. Identify skill requirements
 - d. Develop the selection system
 - e. Assess current performance
3. The two most important aspects of a performance evaluation system are that the system be:
 - a. Systematic and reliable
 - b. Valid and reliable
 - c. Valid and systematic
 - d. Systematic and simple
 - e. Reliable and simple
4. With regard to overall performance, most employees should fall into the following category:
 - a. Superior performance
 - b. Above average performance
 - c. Average performance
 - d. Below average performance
 - e. Unacceptable performance

PERFORMANCE EVALUATION FACTORS SELF-ASSESSMENT

Below are listed a series of statements about performance evaluation and related topics. For each statement please rate yourself in terms of your knowledge about the particular statement or your ability to do the behavior described by the statement. Please circle the letter that describes your answer.

1. To what degree can you describe systems techniques as they pertain to the development of a performance evaluation system?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

2. To what degree can you identify the implications of Equal Employment (E.E.O.) guidelines for performance evaluation systems?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

3. To what degree can you explain the relationship between management by objectives (M.B.O.) and performance evaluation systems?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

4. To what degree can you identify the multiple factors contributing to a particular employee's performance?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

5. To what degree can you identify the various potential uses of performance evaluation results?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

6. To what degree can you point out the employee feedback and development aspects of performance evaluation?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

TRUE-FALSE QUESTIONS

Below are a number of statements related to the performance evaluation process. If you think a particular statement is TRUE, circle the "T". If you think a statement is FALSE, circle the "F". If you don't have the slightest idea whether a statement is TRUE or FALSE, circle the "?".

- T ? F 1. Performance evaluation systems are vulnerable to both internal and external pressures.
- T ? F 2. Organizational structure has little to do with an employee's performance.
- T ? F 3. If at all possible employees should be involved in the development of performance evaluation systems.
- T ? F 4. Public and/or client expectations have considerable potential impact on the organization and its performance evaluation system.
- T ? F 5. The character and description of positions need not be carefully considered in developing a performance evaluation system.
- T ? F 6. The individual employee often lacks the ability to perceive the quality of his/her own performance.
- T ? F 7. Self-evaluation is apt to be biased and self-serving, and, for that reason, has no place in an objective evaluation system.
- T ? F 8. In developing a performance evaluation system, the organizational "climate for change" should be seriously considered.
- T ? F 9. Most performance evaluation systems yield ratings which are too high.

CHECKLIST QUESTIONS

1. Below are listed a series of personnel related actions. Please place a check beside each of those actions which are directly related to the performance evaluation process.

- a. ☐ Feedback on performance
- b. ☐ Identification of training needs
- c. ☐ Long range planning
- d. ☐ Merit pay increases
- e. ☐ Promotion
- f. ☐ Demotion
- g. ☐ Job analysis
- h. ☐ Evaluating effectiveness of the selection process

2. Below are listed the results of a statistical analysis of your performance evaluation system. Please place a check beside each statement which indicates possible bias in your performance evaluation system.

- a. ☐ Minorities are consistently rated higher than whites
- b. ☐ Women are consistently rated lower than men
- c. ☐ Older employees are consistently rated lower than younger employees
- d. ☐ One job classification is consistently rated lower than another
- e. ☐ More experienced employees are rated higher than "new hires"
- f. ☐ College graduates are promoted faster than non college graduates

ESSAY QUESTIONS

1. Potential evaluators of performance include the immediate supervisor, peers, subordinates, clients, and the person being evaluated. Regardless of who is doing the evaluation, what is the prime factor that should be considered when selecting an evaluator?
2. How can an organization tell if their performance evaluation system complies with E.E.O. guidelines?
3. The main factors to be considered when discussing the causes of employee performance include the following:
 - A. _____
 - B. _____
 - C. _____

ROLES OF PERFORMANCE EVALUATION

MAINTAIN CONTROL (GOODS, SERVICES, ETC.)

IDENTIFY INDIVIDUAL TRAINING NEEDS

PROMOTION

DEMOTION

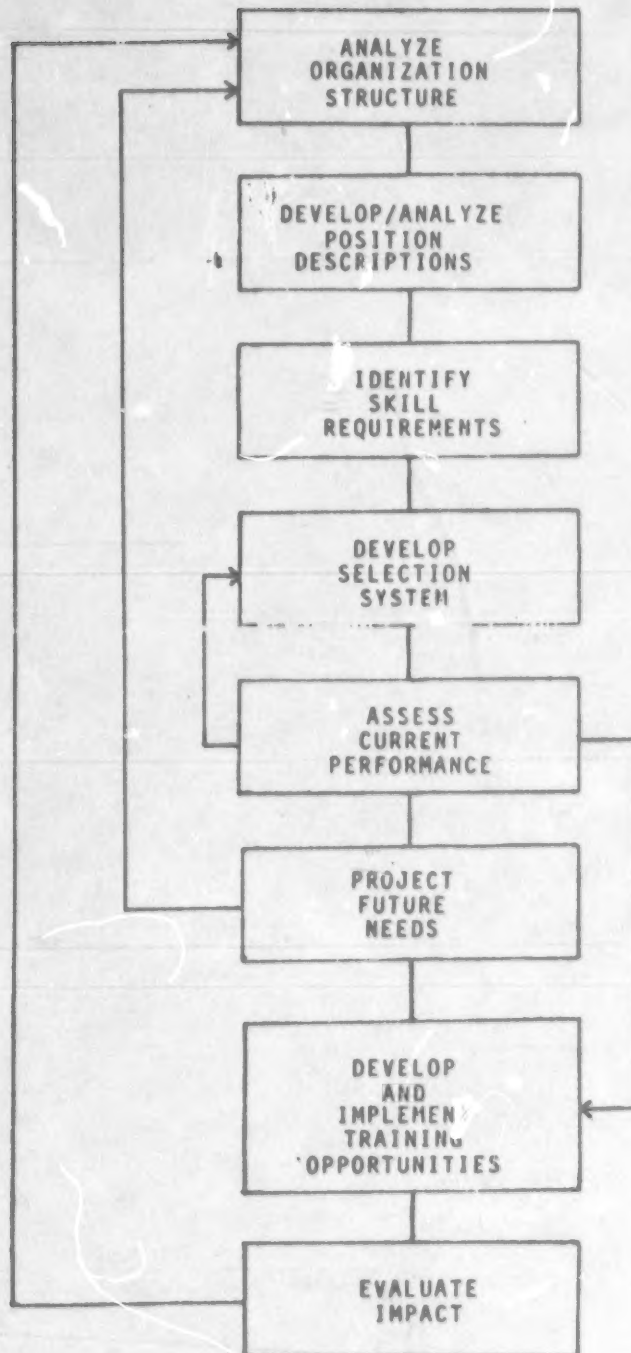
MERIT INCREASES OR BONUSES

TRANSFER

IDENTIFICATION OF TRAINING NEEDS FOR GROUPS OR UNITS

FEEDBACK

SYSTEMS APPROACH



XIV. 1.11.

SOME FACTORS TO BE CONSIDERED

EXTERNAL FACTORS

PUBLIC EXPECTATIONS

PUBLIC (CLIENT) SUPPORT

INTERNAL FACTORS

GOALS

OBJECTIVES

MANPOWER

FINANCING

CLIMATE FOR CHANGE

MANAGEMENT PHILOSOPHY

AGENCY IMPACT

SPECIAL CONDITIONS

- UNIONS
- CIVIL SERVICE

TECHNICAL FACTORS

ORGANIZATIONAL STRUCTURE

- FORMAL REVIEWS
- INFORMAL REVIEWS

CHARACTER AND DESCRIPTIONS OF POSITIONS

ABILITY TO ASSESS CURRENT PERFORMANCE

WHO SHOULD EVALUATE

THE WHO

SUPERIORS

PEERS

SELF

SUBORDINATES

CLIENTS

KEY FACTOR

HAS THE RATER ACTUALLY OBSERVED THE BEHAVIOR AND/OR THE
RESULTS OF THAT BEHAVIOR OF THE PERSON BEING RATED ???

"WHO" SHOULD EVALUATE ?

BENEFITS AND DRAWBACKS

<u>THE WHO</u>	<u>THE BENEFITS</u>	<u>THE DRAWBACKS</u>
SUPERIORS	ANOTHER PERSPECTIVE FEEDBACK	MAY BE BIASED NOT FAMILIAR WITH WORK THREATENED BY "HOTSHOT"
PEERS	ANOTHER PERSPECTIVE FEEDBACK	MAY BE BIASED NOT FAMILIAR WITH WORK ANONYMITY MUST BE ASSURED
SELF	ANOTHER PERSPECTIVE PARTICIPATIVE	MAY MAKE BOSS DEFENSIVE MAY BE BIASED
SUBORDINATES	ANOTHER PERSPECTIVE FEEDBACK	NOT FAMILIAR WITH WORK MAY BE BIASED "AXE TO GRIND" ANONYMITY MUST BE ASSURED
CLIENTS	ANOTHER PERSPECTIVE FEEDBACK	MAY BE BIASED "AXE TO GRIND"

COMPONENTS OF SUCCESSFUL SYSTEMS

- PARTICIPATION IN DEVELOPMENT OF SYSTEM
- MANAGEMENT SUPPORT (MODELING EFFECT)
- IN-HOUSE "EXPERT" TO ANSWER QUESTIONS AND COORDINATE
- TRAINING (BOTH ORIENTATION AND ONGOING)
- FEEDBACK TO:
 - (1) RATEES -- HOW AM I DOING?
 - (2) RATERS -- HOW DO I COMPARE WITH OTHER RATERS?
 - (3) MANAGEMENT -- HOW IS THE SYSTEM OPERATING?
- FEEDBACK PROVIDED AT LEAST SEMI-ANNUALLY AND HOPEFULLY ON A QUARTERLY BASIS

RESISTANCE TO PERFORMANCE EVALUATION

- FEAR OF THE UNKNOWN -- WHY ARE THEY REALLY DOING THIS?
- ANOTHER DEMAND ON LIMITED TIME -- WHAT IS THE PAYOFF?
- INERTIA -- THINGS ARE COMFORTABLE THE WAY THEY ARE
- DISRUPTION -- PERFORMANCE EVALUATION MAY MAKE SOME EMPLOYEES DISLIKE ME
- RATER LACK OF TRAINING -- WHAT AM I SUPPOSED TO BE DOING?
- RATEE LACK OF TRAINING -- WHAT IS THE PURPOSE OF ALL THIS?
- RATER LACK OF CONFIDENCE -- WHAT DO I DO IF SOMEONE GETS UPSET?
- MOVING TOO QUICKLY -- LET'S HIT THE GROUND RUNNING WITH THIS
- OVERSIGHTS -- FAILURE TO TOUCH BASE WITH UNIONS, CIVIL SERVICE, PROFESSIONAL ASSOCIATIONS, ETC.

E.E.O. AND PERFORMANCE EVALUATION SYSTEMS

IF PERFORMANCE EVALUATION SCORES OR RATINGS ARE USED, IN WHOLE OR IN PART, FOR ANY OF THE FOLLOWING DECISIONS:

- SELECTION
- PROMOTION
- DEMOTION
- TERMINATION
- SPECIAL ASSIGNMENT
- TRAINING
- TRANSFER
- AND RELATED DECISIONS

THEN YOUR PERFORMANCE EVALUATION SYSTEM MUST BE:

- RELIABLE
- VALID

STANDARDS FOR ANY PERFORMANCE SYSTEM

RELIABILITY

- CONSISTENCY BETWEEN RATERS
- FREEDOM FROM BIAS

VALIDITY

- CRITERIA ARE JOB RELATED
- CRITERIA ACTUALLY REFLECT DIFFERENCES IN PERFORMANCE

E.E.O. QUESTIONS RAISED BY RELIABILITY AND VALIDITY

- ARE MINORITIES CONSISTENTLY RATED LOWER THAN WHITES
- ARE WOMEN CONSISTENTLY RATED LOWER THAN MEN
- ARE OLDER EMPLOYEES CONSISTENTLY RATED LOWER THAN YOUNGER EMPLOYEES
- IS ONE JOB CLASSIFICATION CONSISTENTLY RATED LOWER THAN ANOTHER CLASSIFICATION

E.E.O.C. JOB CATEGORIES

AVERAGE RATING RECEIVED
CRITERION ONE

OFFICIALS/ADMINISTRATORS	7.46
PROFESSIONALS	7.36
TECHNICIANS	6.44
PROTECTIVE SERVICE	6.30
PARAPROFESSIONALS	6.86
OFFICE/CLERICAL	6.21
SKILLED CRAFTS	6.44
SERVICE/MAINTENANCE	5.68

E.E.O.C. JOB CATEGORIES

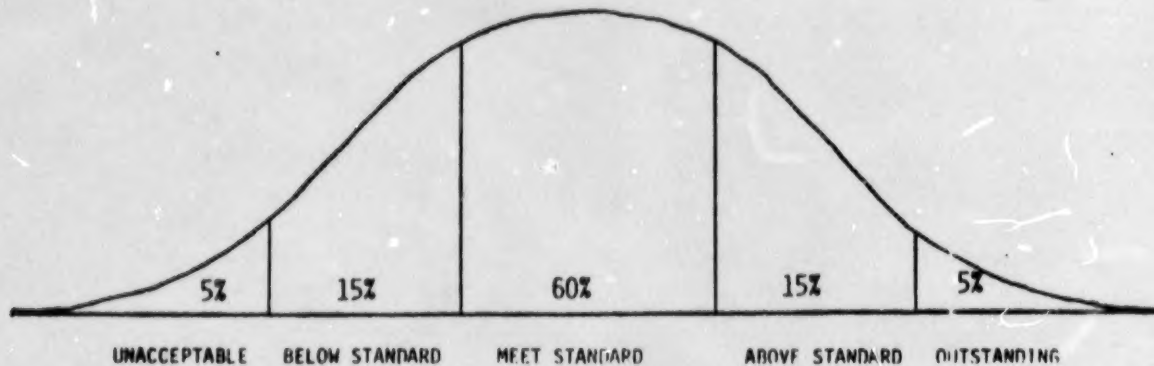
AVERAGE RATING RECEIVED
CRITERION SIX

	FEMALE	MALE
OFFICIALS/ADMINISTRATORS	6.36	6.56
PROFESSIONALS	7.28	7.44
TECHNICIANS	5.37	6.51
PROTECTIVE SERVICE	5.41	6.34
PARAPROFESSIONALS	6.86	5.86
OFFICE/CLERICAL	6.42	6.00
SKILLED CRAFTS	5.36	6.54
SERVICE/MAINTENANCE	6.67	6.70

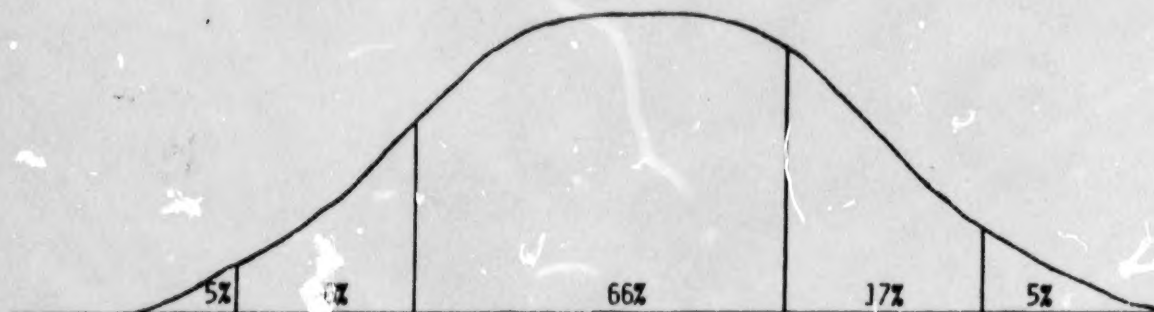
E.E.O.C. JOB CATEGORIES

	AVERAGE RATING RECEIVED CRITERION FOUR	
	NON-WHITE	WHITE
OFFICIALS/ADMINISTRATORS	6.58	6.38
PROFESSIONALS	7.46	7.30
TECHNICIANS	6.54	6.51
PROTECTIVE SERVICE	6.34	5.78
PARAPROFESSIONALS	6.89	6.68
OFFICE/CLERICAL	6.67	6.35
SKILLED CRAFTS	5.23	6.65
SERVICE/MAINTENANCE	5.98	5.76

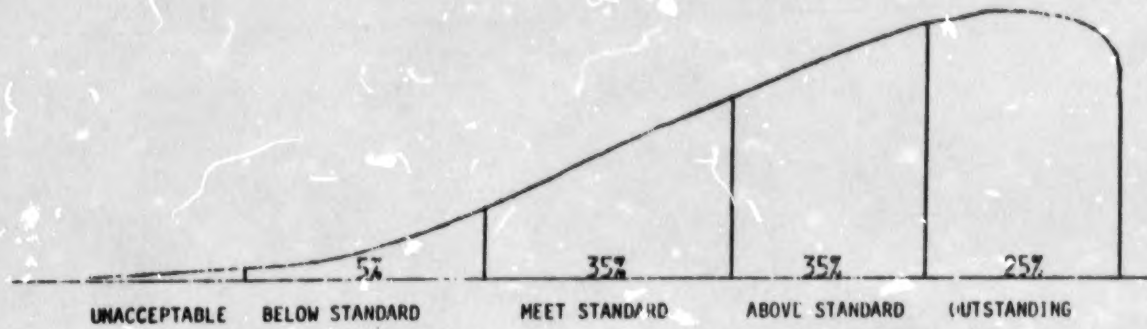
THE "NORMAL" CURVE



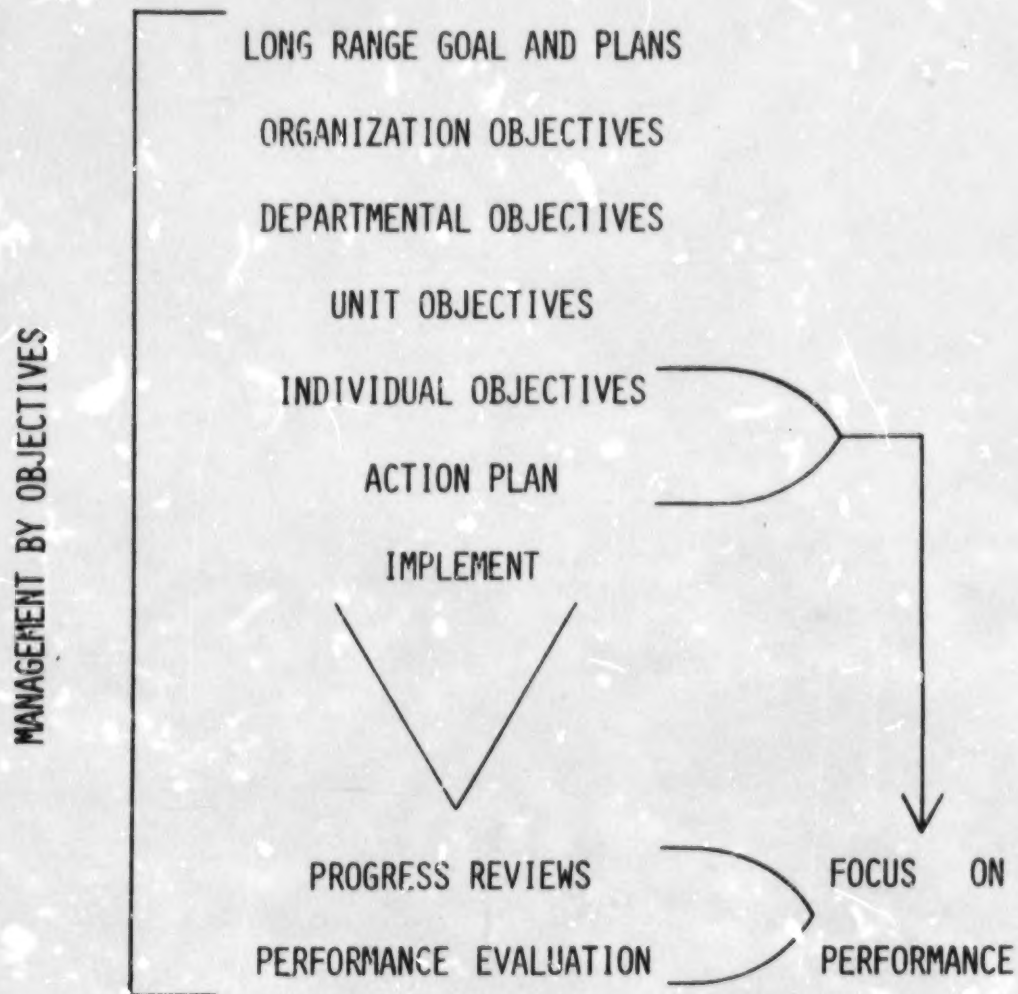
THE "MODIFIED NORMAL" CURVE

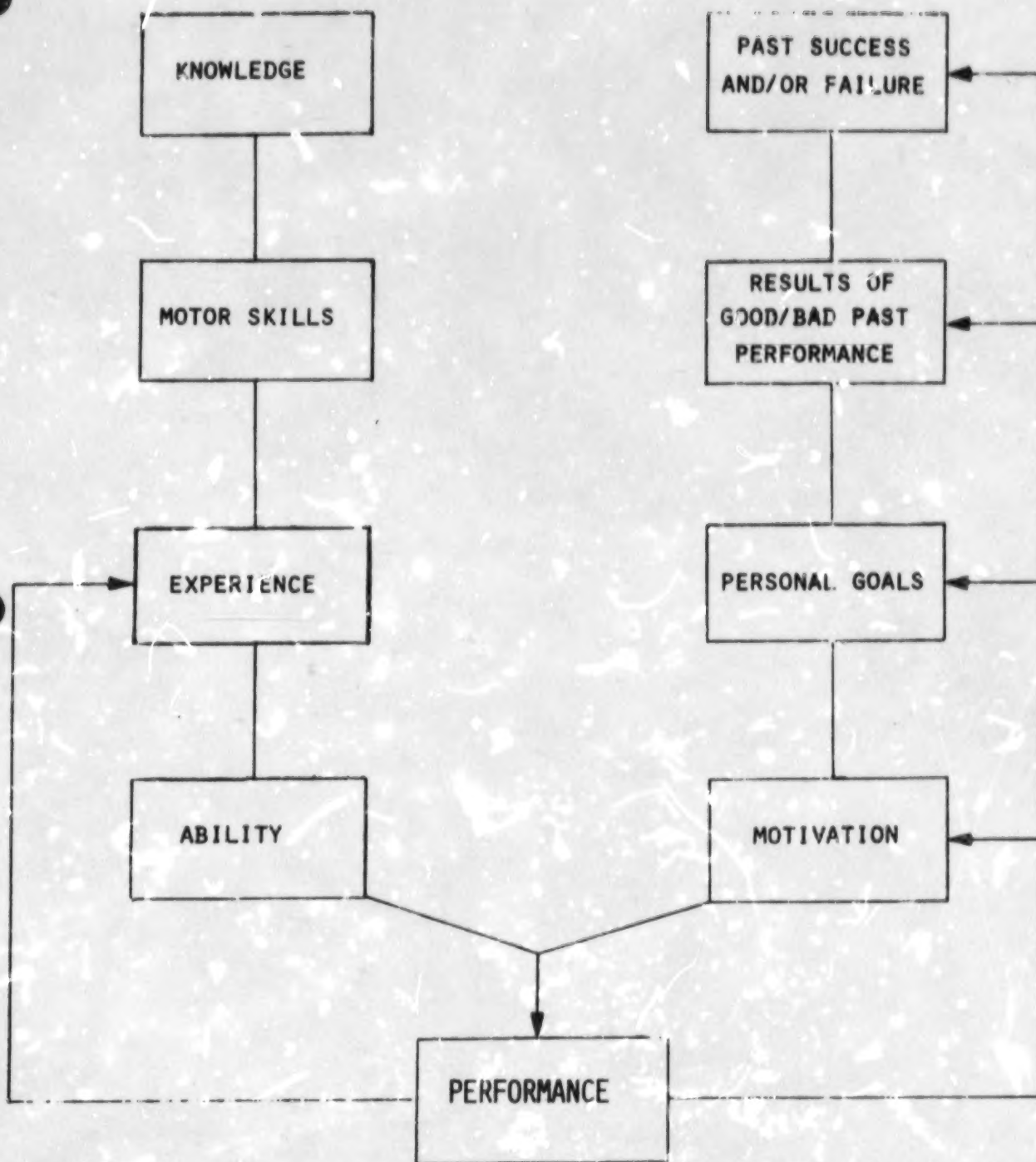


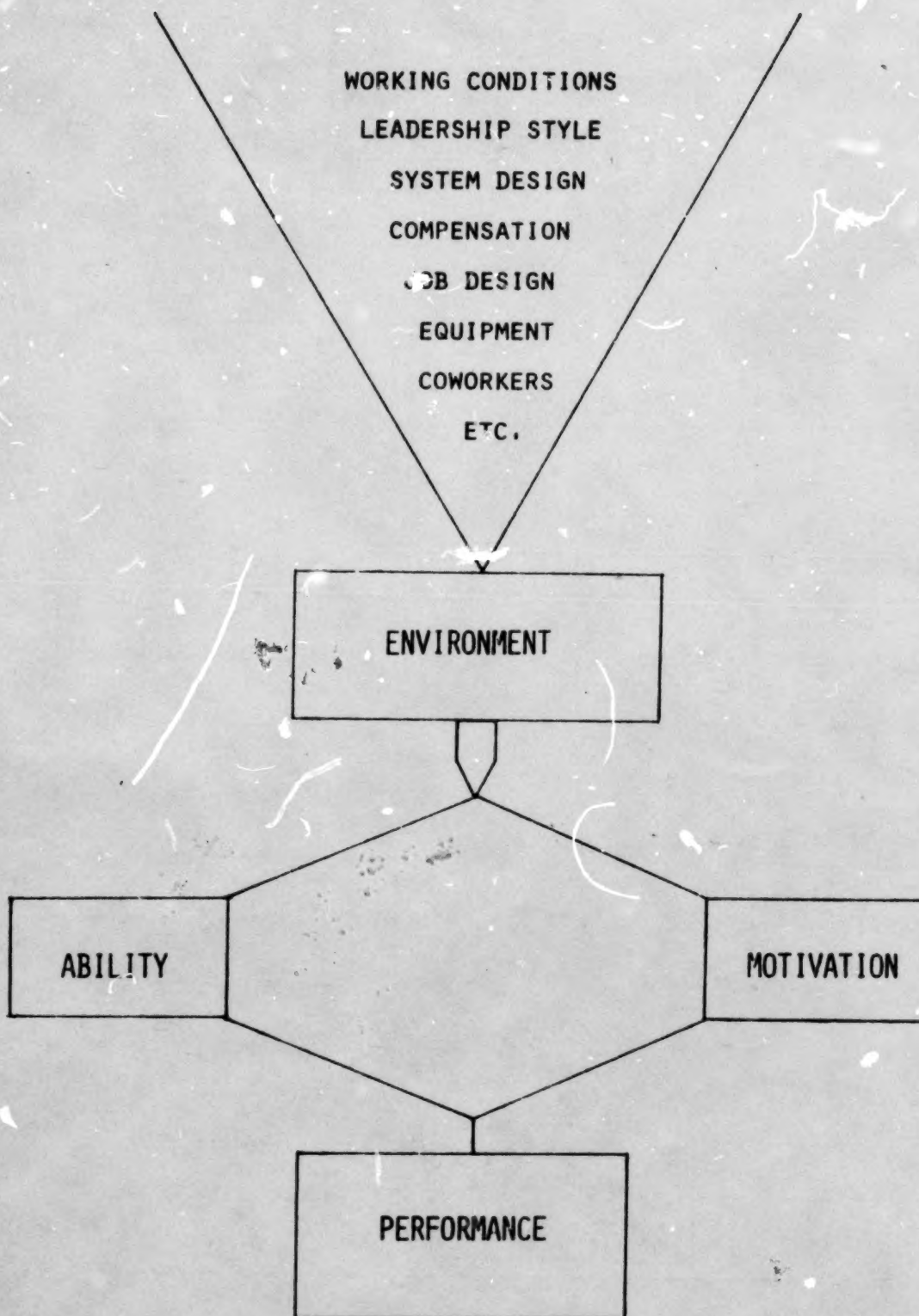
THE DISTORTED CURVE



RELATIONSHIP BETWEEN MBO AND PERFORMANCE EVALUATION







MODULE ONE POST-TEST MULTIPLE-CHOICE QUESTIONS

Below are a number of multiple choice questions on the performance evaluation process. For each question, please circle the letter (a., b., c., d., or e.) of that word or phrase which, when added to the incomplete statement, gives the best answer.

1. Employee performance can be evaluated by which of the following groups?
 - a. Superiors
 - b. Peers
 - c. Self
 - d. Subordinates
 - e. All of the above
2. A systematic procedure for developing a performance evaluation system would require a series of specific, interrelated steps. What would be the first thing you would do in establishing such a system?
 - a. Analyze organization structure
 - b. Develop/analyze position descriptions
 - c. Identify skill requirements
 - d. Develop the selection system
 - e. Assess current performance
3. The two most important aspects of a performance evaluation system are that the system be:
 - a. Systematic and reliable
 - b. Valid and reliable
 - c. Valid and systematic
 - d. Systematic and simple
 - e. Reliable and simple
4. With regard to overall performance, most employees should fall into the following category:
 - a. Superior performance
 - b. Above average performance
 - c. Average performance
 - d. Below average performance
 - e. Unacceptable performance

TRUE-FALSE QUESTIONS

Below are a number of statements related to the performance evaluation process. If you think a particular statement is TRUE, circle the "T". If you think a statement is FALSE, circle the "F". If you don't have the slightest idea whether a statement is TRUE or FALSE, circle the "?".

- T ? F 1. Performance evaluation systems are vulnerable to both internal and external pressures.
- T ? F 2. Organizational structure has little to do with an employee's performance.
- T ? F 3. If at all possible employees should be involved in the development of performance evaluation systems.
- T ? F 4. Public and/or client expectations have considerable potential impact on the organization and its performance evaluation system.
- T ? F 5. The character and description of positions need not be carefully considered in developing a performance evaluation system.
- T ? F 6. The individual employee often lacks the ability to perceive the quality of his/her own performance.
- T ? F 7. Self-evaluation is apt to be biased and self-serving, and, for that reason, has no place in an objective evaluation system.
- T ? F 8. In developing a performance evaluation system, the organizational "climate for change" should be seriously considered.
- T ? F 9. Most performance evaluation systems yield ratings which are too high.

PERFORMANCE EVALUATION FACTORS SELF-ASSESSMENT

Below are listed a series of statements about performance evaluation and related topics. For each statement please rate yourself in terms of your knowledge about the particular statement or your ability to do the behavior described by the statement. Please circle the letter that describes your answer.

1. To what degree can you describe systems techniques as they pertain to the development of a performance evaluation system?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

2. To what degree can you identify the implications of Equal Employment (E.E.O.) guidelines for performance evaluation systems?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

3. To what degree can you explain the relationship between management by objectives (M.B.O.) and performance evaluation systems?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

4. To what degree can you identify the multiple factors contributing to a particular employee's performance?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

5. To what degree can you identify the various potential uses of performance evaluation results?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

6. To what degree can you point out the employee feedback and development aspects of performance evaluation?

A. B. C. D.

NOT AT ALL TO A VERY LOW DEGREE TO A MODERATE DEGREE TO A VERY HIGH DEGREE

CHECKLIST QUESTIONS

1. Below are listed a series of personnel related actions. Please place a check beside each of those actions which are directly related to the performance evaluation process.

- a. ☐ Feedback on performance
- b. ☐ Identification of training needs
- c. ☐ Long range planning
- d. ☐ Merit pay increases
- e. ☐ Promotion
- f. ☐ Demotion
- g. ☐ Job analysis
- h. ☐ Evaluating effectiveness of the selection process

2. Below are listed the results of a statistical analysis of your performance evaluation system. Please place a check beside each statement which indicate possible bias in your performance evaluation system.

- a. ☐ Minorities are consistently rated higher than whites
- b. ☐ Women are consistently rated lower than men
- c. ☐ Older employees are consistently rated lower than younger employees
- d. ☐ One job classification is consistently rated lower than another
- e. ☐ More experienced employees are rated higher than "new hires"
- f. ☐ College graduates are promoted faster than non college graduates

ESSAY QUESTIONS

1. Potential evaluators of performance include the immediate supervisor, peers, subordinates, clients, and the person being evaluated. Regardless of who is doing the evaluation, what is the prime factor that should be considered when selecting an evaluator?

2. How can an organization tell if their performance evaluation system complies with E.E.O. guidelines?

3. The main factors to be considered when discussing the causes of employee performance include the following:

A. _____

B. _____

C. _____

KEY TO PRE-TEST AND POST-TEST

MODULE ONE

MULTIPLE CHOICE

1. = e., 2. = a., 3. = b., 4. = c.

SELF ASSESSMENT

To find your self-assessment score, use the following key:

A. = 1, B. = 2, C. = 3, D. = 4

Sum the total of points. For example, if you circled all C.'s, your points would total $3 + 3 + 3 + 3 + 3 + 3 = 18$.

TRUE FALSE

1. = T, 2. = F, 3. = T, 4. = T, 5. = F, 6. = F, 7. = F, 8. = T, 9. = T

CHECKLIST QUESTIONS

All items should be checked for both questions except for item 2.e.
Give yourself one point for each item correctly checked.

ESSAY QUESTIONS

1. Give yourself two points if your answer indicated that the prime factor to be considered is whether the rater has actually observed the behavior or the results of the behavior.
2. Give yourself one point for mentioning reliability or consistency.
Give yourself one point for mentioning validity of job-relatedness.
3. Give yourself one point for mentioning ability.
Give yourself one point for mentioning motivation.
Give yourself one point for mentioning environment or situation.

ENTER YOUR SCORES FOR BOTH THE PRE-TEST AND THE POST-TEST BELOW.

	PRE-TEST SCORE	POST-TEST SCORE
MULTIPLE CHOICE	-----	-----
SELF ASSESSMENT	-----	-----
TRUE FALSE	-----	-----
CHECKLIST	-----	-----
ESSAY	-----	-----
SCORE	-----	-----